

# JGAI ESS

ISSN: 2375-9577 (ONLINE), USA



Journal of Global  
Academic Institute  
Education &  
Social Sciences

Published by the Global Academic Institute

Vol:1 No:2

# Table of Contents

Spatial Integration and Identity: Cases of Border Regions .....	1
<i>Andrea Uszkai</i>	
A Silent Pathway to Depression: Social Anxiety and Emotion Regulation as Predictors of Depressive Symptoms .....	14
<i>Salvador, M. C.</i>	
<i>Oliveira, S. A.</i>	
<i>Matos, A. P.</i>	
<i>Arnarson, E.</i>	
<i>Craighead, W. E.</i>	
Influence of Maternal Level of Education on Child Survival: A Case Study of Kinango Division of Coast Province, Kenya .....	32
<i>Joyce Muthoni Njagi</i>	
Local Democracy and Representation in Municipal Council.....	52
<i>Mehmet Akif Çukurçayır</i>	
<i>Hayriye Sağır</i>	
<i>A. Arda Yüceyılmaz</i>	
Decomposition of Impact of Shocks on Individual Sectors: Case of the Czech Republic.....	61
<i>Ing. Kateřina Gawthorpe</i>	
<i>Ing. Karel Šafr</i>	
Using Student Exemplars in Empowering Learning .....	81
<i>Kong Ho</i>	
Principles of Social Responsibility in Terms of Sustainable Tourism in Tourism Establishments.....	94
<i>Emel Çinarlı</i>	
<i>Yavuz Çakmak</i>	
<i>M. Burak Ceran</i>	
Psychological Flexibility and Self-Compassion: Contributions of Gender and its Association with Adolescent Depression.....	95
<i>Andreia Azevedo</i>	
<i>Ana Paula Matos</i>	
Cultural Aspects in the Content of Advertising Materials .....	110
<i>Stela Anca Radu</i>	
The Role of Urban Spaces in Women's Safety: A Case Study in Najafabad City, Iran .....	115
<i>Mehdi Momeni</i>	
Integrated Marketing Communications (IMC): Extended Version or New Idea? .....	123
<i>Helpris Estaswara</i>	
Merits and Demerits of Using Information and Communication Technology (ICT) Tools in Iranian High School English Classes .....	140
<i>Hadi Salehi</i>	
<i>Masoud Asgari</i>	
<i>Mahdi Amini</i>	
The Relation of Self-Efficacy, Self-Esteem and Assertiveness Levels in Terms of Gender and Duration of Experience in Handball Players .....	150
<i>Fikret Soyer</i>	

<i>Turhan Toros</i> <i>Zülbiye Kaçay</i>	
The Classroom Justice Perceptions of High School Students .....	151
<i>Burçin Nural</i> <i>Osman Titrek</i>	
Determining the Digital Plagiarism Causes and Types of Secondary School Students .....	164
<i>Ahmet Naci Çoklar</i> <i>Feyza Uzun</i>	
The Evolution of Malaysia School Building Design.....	165
<i>Norhaslin Nordin</i> <i>Muhammad Azzam Ismail</i> <i>A R Mohd Ariffin</i>	
Grounded Theory and Grounded Theory Essays in Turkish Sociology.....	166
<i>Ferhat Arık</i>	

# Spatial Integration and Identity: Cases of Border Regions

*Andrea Uszkai, Hungarian Academy of Sciences Centre for Economic and Regional Studies Institute for Regional Studies Hungary, Hungary*

## Abstract

Because of the complexity and importance of the concept of spatial (cross-border) integration and identity, the paper first of all defines the applied meaning of these phenomena. It aims to explore relations between these two phenomena. It assumed that there are differences related to the spatial identity depending on the strength of integration. Probably, in strongly integrated border regions, where physical and mental borders have less or no importance, the population can identify with this spatial level better than people living in separated, alienated border regions. The study investigates several European borderlands from the aspects of integration and spatial identity and searches for the answer as to how the level of integration and the existence of physical and mental borders can determine the main characteristics of the regional, cross-border identity. This research helps to understand what kind of differences, similarities and specialties can be found in this field in several parts of Europe. Analysed cases in the paper are the following: the Öresund region at the Danish-Swedish border, the Polish-German borderland and the Basque border region between France and Spain. These cross-border regions are especially interesting from the aspect of identity, because the level of integration is likely distinct, thus the identity patterns as well.

## Theoretical background and methodology

First of all, it is necessary to define the meaning of *spatial integration* used in this paper. The idea of integration (social, economic, political) underpins the formation of the European Union. Integration tends to be regarded as a positive response to the disintegration of traditional structures caused by the globalisation. Within the EU, several distinct concepts of integration can currently be identified. One of often applied definitions comes from the first official project of ESDP:

*Spatial integration expresses the opportunities for and level of (economic, cultural) interaction within and between areas and may reflect the willingness to co-operate. It also indicates, for example, levels of connectivity between transport systems of different geographical scales. Spatial integration is positively influenced by the presence of efficient administrative bodies, physical and functional complementarity between areas and the absence of cultural and political controversies* (Boe, D. – C. Grasland – Healy, A. et al., 1999:7).

Marcuse (1997; 2005) affirms that integration represents the elimination of barriers to free mobility and the establishment of positive and non-hierarchical relationships. The dimensions (Table 1) are specifiable aspects of a concept to help grasp the complex meaning of **socio-spatial integration**. The *physical dimension* means the proximity between social groups, and can involve variables like space design, spatial distance according to social distance, agglomeration, clustering and so on. The *functional dimension* is related to access to opportunities and can involve variables like spatial distance to opportunities, quality of opportunities, economic access to services, level of state involvement and presence of public and private institutions. The *relational dimension* implies the interaction between different social groups, and can involve variables like hierarchical and non-hierarchical relations, social control, leadership, community institutions, cultural exchange and assimilation between groups, social capital, social networks, political participation, etc. Finally, the *symbolic dimension* is related to identification with a common ground and can involve variables such as real and imaginary boundaries,

---

Supported by Hungarian Academy of Sciences Junior International Conference Competition Identification: INKP 2 35.

partial and common identity and differentiation, separation between established members and outsiders, etc. (Ruiz-Tagle, 2013).

**Table 1:** The dimensions of socio-spatial integration

Macro dimensions	Socio-spatial dimensions	Characterization
Systemic	Physical	Physical proximity between social groups (defined by power and status)
	Functional	Effective access to opportunities and services in the territory
Social	Relational	Non-hierarchical interaction between different social groups
	Symbolic	Identification with a common group

Source: Ruiz-Tagle, 2013

One of the sub-types of the spatial integration can be considered the *cross-border integration*. The concept of this phenomenon encompasses numerous understandings. In the field of border studies, it is clearly understood as a regionally-based phenomenon, which takes place along national borders across different domains, ranging from economics to politics and culture. This paper focuses on this perspective (Sohn, 2014).

The other important phenomenon used in this paper is the *identity*, especially related to areas. Identity has been a popular word for more than two decades already. The needs of individuals and groups are seen as a reaction to the dominant interest for social structures and systems in the 1960s and 1970s. The identity of groups will be related to families, relationship and personal connections as well as to linguistic, religious and other cultural community, but also to local, regional and national bonds. “Identity” is to be understood as a feeling or a certainty of belonging to a group or area or to be one with this group or area. If this feeling or certainty is related to an area or region it is referred to *spatial or regional identity* (Heller, 2011).

Regional identity has been described in the literature as closely connected to common space and culture, creating in individuals a sense of belonging. Regional identity is the identification of a group of people with the social system of a region, its culture, history, traditions and landscape (Paasi, 2003; Raagmaa, 2002). In some cases, regional identity may act as a stabilising, changing and constructive factor in a region, whilst in others it may have destructive effects, particularly when national and regional identities come into conflict (Smallbone, et al., 2007). Territorial identity is one of the ‘keystones’ of region and plays a key role in the process of the institutionalization of regions as well as the de-institutionalization of regions. Research on the relationship between people and the territory they inhabit has become increasingly important in recent years, along with research concerning the degree to which one ‘belongs’ to a territory and its territorial society or community (Semian – Chromy, 2014).

According to Paasi (1986, 2009), regional identity consists of two components: regional identity of the inhabitants and the identity of a region. The first one (regional identity inhabitants) is the expressed sense of belonging to a community and the perceived differences between a specific region and other regions by its inhabitants (an ‘us’ and ‘them’ relationship). It can be based on collective identification with community in a particular territory and/or collective identification with the particular regional environment of inhabited territory. The second one (identity of a region) is based on the constitution of a regional image either from within or from outside or, in other words, how the region is presented and perceived by its own inhabitants and institutions as well as by others outside the region. The image of a region can be influenced through promotion, branding, and marketing. The inhabitants can also be identified with the represented image of the region (Paasi 1986, 2009; Semian – Chromy, 2014).

Why is the identity so specific in the cases of the border regions? How can link the cross-border integration to the spatial identity? To answer these questions, the paper overviews the main characteristics of the borders and highlight why the identity of the border population can be so specific.

First of all, we have to take into account that European borders are *unnatural, political constructions*. Looking at European history, border drawing has been a consequence of the struggles about formation and re-formation of nation states, and the majority of contemporary European borders have been drawn as a consequence of the two world wars in the twentieth century (Yndigegn, 2011). Furthermore, borders are *multidimensional* (Risse, 2004). They are physical entities and determine people's perceptions. They are *spatial representations of power relations*, and become reflected in the minds of the people who live with and along the borders (Anderson - O'Dowd, 1999; Delanty, 2006). Besides being physical realities in geographical space, borders are *social constructions*. They divide people between known and unknown, between native and foreign, between us and them, moreover they *produce meaning and significance* beyond their existence. Borders *signify the relationships between actors and institutions* in the borderland (Yndigegn, 2011). Paasi (1998) pointed out that borders or boundaries have *identity producing functions*. Moreover, let us think the words of Newman and Paasi (1998:194), who said "*identity and boundaries seem to be different sides of the same coin*" on the fact that state borders are symbols of social institutions and power relations. In border areas, the space-related identity is an important topic especially, because political borders do not necessarily mean cultural, social and economic borders, even in cases when they are permeable. In these areas, the population can have a specific identity, which can be characterised by two or more identities. These border areas can be considered as areas of interference, where heterogeneous societies with overlapping identities are established. Moreover, the history and the conception of the history (cultural memory) which a population has can be important factors for the building of identity (Heller, 2011). Within the disciplines sociology, history, psychology and political science the memory functions are considered as being fundamental for the process of identity formation (Zimmermann-Steinhart, 2005). Van Houtum, Kramsch and Zierhofer (2005) argue that the hybrid culture that develops in cooperative cross-border urban areas will support the emergence of a new regional identity.

As for methodology, based on the hypothesis of this paper, in strongly integrated border regions, where physical and mental borders have less or no importance, the population can identify with this spatial level better than people living in separated, alienated border regions. In order to be able to decide on this hypothesis, the paper investigates three European borderlands from the aspects of cross-border integration and regional identity. The selected border regions are: the Öresund region at the Danish-Swedish border, Frankfurt-Oder – Slubice at the German-Polish border and Basque region at the French-Spanish border. They are very different from the aspects of the geographical position and extension, processes of economic and social development, historical background, dates of the accession to the European Union and thus the level of integration as well. The different endowments, possibilities and cooperation culture justify the selection of these areas. Figure 1 represents the selected border regions on a map, while Table 2 summarizes their main features.



**Figure 1: Examined border regions**

Edited by Author, 2015

**Table 2: Main features of the examined border regions**

Cross-border region	Member states	Accession to the EU	Population (inhab.)
Öresund	Denmark	1973	3,8 million (67% Danish side, 33% Swedish side) (2011)
	Sweden	1995	
Basque region	France	1952	3 million (80% Spanish side, 20% French side) (2015)
	Spain	1986	
Frankfurt-Oder – Słubice	Germany	1952	80 000 (75% German side, 25% Polish side) (2009)
	Poland	2004	

Source: OECD, 2013. Everyculture.com, 2015, Mission Operationelle Transfrontalière, 2009

### Cross-border identity as reality? – Cases of several border regions

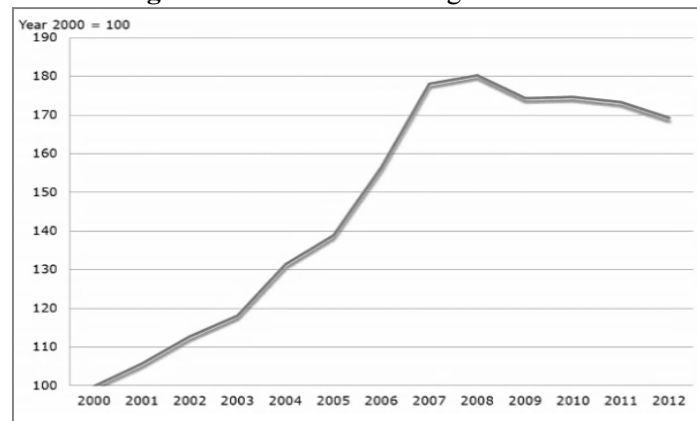
#### *Danish-Swedish-border - Öresund Region*

The Öresund Region is formed by the eastern part of Denmark and the south-western part of Sweden. The region is named after the narrow water, the Öresund. In the region can be found the Danish capital Copenhagen, and the third largest Swedish city, Malmö (Yndigegn, 2011). It represents the first European experiment of integration between two states based on marketing, economy and infrastructures (Santanicchia, 2003). Copenhagen and Malmö were connected by the 18- km fixed Öresund link in 2000. It was built with the explicit purpose of a new regional regime driven by cross-border functional integration. The object was to increase regional productivity, economic growth and competitive vitality, and thus give the Öresund Area new dynamics (Matthiessen, 2004).

The bridge building project initiated an integration process that developed in different ways. The population started to act on the new possibilities that opened, and the public authorities launched national separate plans for city development. The bridge became a catalyst for cross-border cooperation between the two countries (Yndigegn, 2011). In 1999, before the Öresund bridge opened, around 2 600 people commuted daily across the Swedish-Danish border. One decade later, around 20 000 commuted daily to work or study, though this had fallen to around 15 000 by 2013, in the wake of the financial crisis (McEwen-Petersohn, 2014). Commuting goes almost only in one direction; 95% of the commuters live in Sweden and, work in Denmark. Many Danes have settled in Sweden because of lower property prices. It reflects economic conditions that almost all traffic goes from Sweden to Denmark. There is no economic incentive to move the other way (Yndigegn, 2011).

It is possible to observe how new more or less formal networks evolve within the different sectors linking individual organizations in a strategic network of new resources and action structures. The “Öresund University” links the many different universities and business schools in the region. “Medicon Valley” has been a vehicle for corporation between research institutions and firms within the medical industry. The project “The Birth of a Region” is concerned with marketing and development of the Öresund Region initiated by public organizations in the area, and “Science Region” is perhaps a label that possible could integrate the networks above into a cohesive whole. This short list of initiatives is just mentioned to illustrate that many things are happening and a lot of organizations take part in the project of integrating the area (Tangkjær, 1999). According to the EU, the region of Öresund is considered a model for further cultural and economic integration within the EU, and an example of the new Europe without borders (Hofstam – Waldemarsson, 2006). This integration across Öresund is important for both countries. The Öresundskomiteen has developed an integration index to measure the changes of the integration between the Danish and Swedish part of the Öresund region compared with year 2000, which is the year of the opening of the Öresund Bridge. Values above 100 displays that the Öresund region is more integrated than in year 2000. The value of the index in 2012 is 169. So far the highest value of the index was reached in 2008 – at 180. The Integration Index is a combination of five sub-indices measuring the integration within the labour market, housing, business, culture and transport. Each of the five sub-indices weights 20% (Öresundskomiteen, 2013).

**Figure 2:** The Öresund Integration Index



**Source:** Öresundskomiteen, 2013

Seeing this growing tendency the question may arise: Do the inhabitants share in a common Öresund identity as a result of the integration processes? To answer this question, we can take into account two surveys related to regional identity.

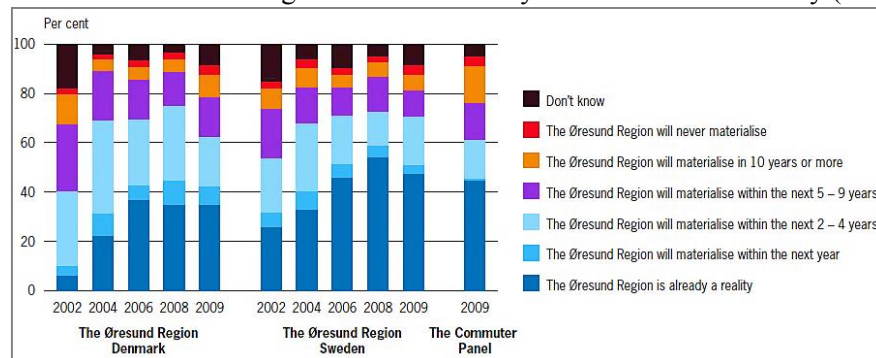
Firstly, as part of a larger project being carried out during 2001-2004 on identity in the Öresund region, 1949 residents of Denmark and Sweden were polled in 2001 regarding attitudes and behaviours towards their municipalities, regions, nation, and Europe as a whole. The data analysis reveals that there are significant differences between Danish and Swedish inhabitants of the Öresund region when it comes to matters of interest in the region, knowledge about the region, a willingness to identify and be seen as a member of the region, and moreover, the willingness to engage in substantial cross-Öresund activities (Bucken-Knapp, 2012).

Secondly, based another survey (2002-2009), published by Öresundsbron in 2010, slightly over half the polled Scanians (Swedish) (52%) declared that they regard themselves as Öresund citizens compared to 29% Danish part of the region. Among commuters using the Öresund Bridge, the figure is significantly higher (79%). Being an Öresund citizen, however, is only one of several identities of the region's inhabitants. When dealing with the “other” country's inhabitants, language and regulations, people on both sides are inevitably reminded of their own national identity. Common identity or not, the concept of one common region enjoys strong support among the Öresund Region's residents, with 47% of Scanians (Swedish) and 35% of Zealanders (Danish) believe that the Öresund Region is now a



reality. At the same time, 40% of Scanians and 53% of Zealanders expect the Öresund Region to become a reality. Just 4% on each side believe that it will never materialise (Öresundbron, 2010) (Figure 3).

**Figure 3:** Will the Öresund Region become a reality? – Results of the survey (2002-2009)



Source: Öresundsbron, 2010

Santanicchia (2003) emphasizes, what the Scanians and Copenhageners need to understand is that they will not lose their identity because of becoming Öresunders; as well as they are Öresunders, they are Swedish, Danish, Muslims, Christians, and so on.

### The Basque region between France and Spain

The Basque region is situated in the western Pyrenees and includes territories in northeastern Spain and southwestern France with a total population of 2,900,000 inhabitants and an area of 20,531 km<sup>2</sup> (Menendez-Baceta et.al. 2015). At present, this territory is divided among three political-administrative structures: In the French State, le Pays Basque, and within the Spanish State, the Basque Autonomous Community and the Autonomous Community of Navarra (Lokarri, 2015). These three administrative regions include seven historical territories (Araba, Bizkaia, Gipuzkoa, Lapurdi, the Southern and Northern Navarre and Zuberoa) (Douglass, 1996; Center for Basque Studies, 2011)

From the aspect of socio-spatial integration, as a result of the removal of border controls within the EU due to the Schengen agreement, many communities located in border zones have had to reassess their relationship with their neighbours across state frontiers. The French-Spanish border in the Basque Country is one of the cases, where numerous cross-frontier initiatives have been launched over the last decade. An increasing number of inhabitants now cross the frontier on a regular basis. In parallel, numerous economic changes have taken place, of which the steady urbanisation of the border is a consequence. All this means that traditional identities are altered with new emerging symbolic references (Bray, 2002). The stabilization of the Spanish democratic regime and Spain's accession to the European Community in 1986 favoured cross-border cooperation in Basque areas, which took two very different forms. On the one hand, inter-state cooperation over border controls was strengthened by European anti-terrorist and immigration policy. At the same time, European integration helped establish a framework of cooperation favourable to interventions by regional and local authorities. The progressive institutionalization of cross-border relations was strongly supported by the EU. From 1983, the French Aquitaine region and the Spanish Basque Autonomous Community (BAC) were among the nine border regions which founded the Pyrenean Labour Community. One example of cross-border institutional cooperation is the Bidasoa-Txingudi cross-border consortium (1998), which brought together the French town of Hendaye and the Spanish towns of Hondarribi and Irun (Itçaina, 2014). Nevertheless, Bray (2002) pointed out, the Bidasoa-Txingudi continues to be a highly segmented society, divided by a state frontier and differing traditions and attitudes, by language, social origins and loyalties and its members are as aware of their differences.

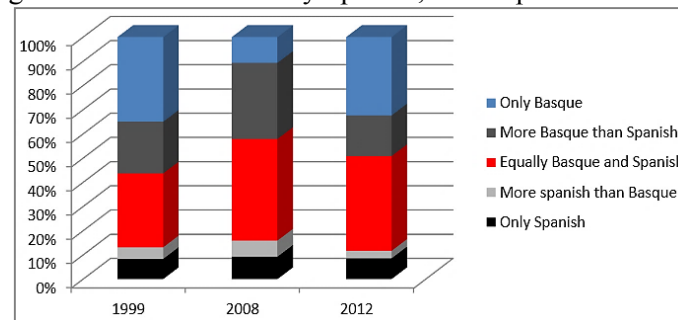
The Treaty of Bayonne, signed by France and Spain in 1995, strengthened the legal framework for cooperation. Small-scale cooperation between border municipalities flourished. Finally, the Aquitaine-Euskadi Euroregion (2011) represented a new phase in setting up a framework for cross-border cooperation. The process has had to overcome institutional and political asymmetries. There is a significant budgetary gap between the Aquitaine region, the BAC, and Navarre. Similarly there are large

differences between the extensive fiscal powers of the Basque Provincial Deputations and the more limited options of a French *département* (administrative area). At a political level, the perception of cross-border cooperation by political elites is different. French leaders had a functional and not identity-based perception of cooperation, while the BAC, when controlled by the Basque Nationalist Party (PNV) saw cross-border cooperation as an opportunity to strengthen cultural ties between Basques (Itçaina, 2014).

It is not an easy task to define who Basque is and who not. One of the definitions is that Basques are people who speak Euskera. Another definition says that Basques are those who have Basque ancestors, even if they cannot speak Euskera. There are two other definitions as well. A Basque is a person who lives or works in the Basque Country, or a Basque is a person who thinks that he or she is a Basque (Jokinen, 2005). The issue of 'Basque identity' is a sensitive subject, reflecting past and present political and social tensions and competing notions of territory, region and country (Bray, 2002), moreover, based on the scientific literature, the situation is very different in the Spanish Basque Country (Hegoalde) and French side (Iparralde). Thus, this paper points out on the main differences.

In order to analyse Basque identity in the *Spanish side of the border*, Bartolomé (2013) has summarized the main results of European Values Study (1999, 2008) and Project Political Elites (2012) (Figure 4; 5).

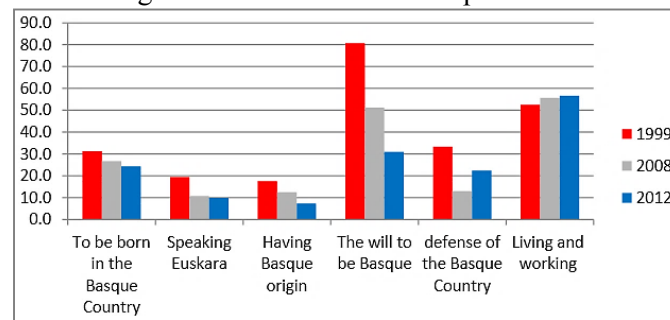
**Figure 4:** Basque-Spanish identity in 1999, 2008 and 2012.  
Percentages of those who feel only Spanish, more Spanish than Basque, etc.



**Source:** Edited by Bartolomé, 2013 based on European Values Study (1999, 2008) and Project Political Elites (2012).

As can be seen from Figure 6, the levels of Spanish nationalism have practically remained unchanged throughout the period 1999-2012 with a minority position. The option “equally Basque and Spanish” occupies a very relevant position, with a higher frequency in 2008. The percentage of people who declare to be either more Basque than Spanish or only Basque represents between 50-60% of the population. What seems to change throughout this time is the option in which people locate themselves (Bartolomé, 2013). Figure 5 shows the percentage of individuals who declare as relevant a number of given conditions for being considered Basque.

**Figure 5:** Conditions for being considered Basque 1999, 2008 and 2012.  
Percentages of those who choose a specific condition



**Source:** Edited by Bartolomé, 2013 based on European Values Study (1999, 2008) and Project Political Elites (2012).

The condition that seems to be the least relevant for respondents is to have Basque origins, in terms of having Basque parents or grandparents, which has also decreased over time. However, language often has an important role in ethnic identity and it means often much more than only a means of communication and it can be a very powerful symbol when discussing ethnic identity (Jokinen, 2005), speaking Euskara (Basque language) is the second least relevant condition for respondents, also showing a decrease over time (Bartolomé, 2013). One reason can be the fact that the Basque language and culture during the regime of Francisco Franco (1939–75) in the Spanish provinces were ruthlessly suppressed (everyculture.com, 2015).

To be born in the Basque Country is also one of the conditions that have been decreasing in relevance over time, probably due to the effect of immigration and assimilation of many of the inhabitants in the Basque Country (Bartolomé, 2013). One explanation can be that 28.7% of the population in the Basque Country were born outside of region according to data prepared by Eustat relative to the 2011 Population and Housing Censuses. The percentage of individuals born outside of the Basque Country has remained stable over the last ten years, although changes have been produced in their origins (Eustat, 2013).

Defending the Basque Country was somewhat relevant in 1999, with a significant decrease in 2008, and a revival in 2012, although it has returned to the levels of 1999. The two conditions to be considered Basque found most important by the respondents are: firstly, the will to be Basque—although this has experienced the strongest decrease throughout time, and secondly, living and working in the Basque Country. This condition scored the second highest in 1999, and the highest in 2008 and 2012, with a constant increase over time (Bartolomé, 2013).

### **What differences can be observed in the French Basque Country compared to the previously characterized Spanish side of the border?**

In order to answer this question, we have to pay attention on the research of Bray (2006), whose paper analyzes the “ethnonational identity<sup>2</sup>” of young French Basques in Iparralde in the context of European integration. Based on this research, one of the main differences between the two parts of the Basque Country is that young people in Iparralde tend to be more familiar with the political and cultural character of Hegoalde than is the case for their counterparts in Hegoalde in relation to Iparralde. Many young people from Iparralde spend their free time south of the border, attracted by its wider choice of cultural and social activities. The political and institutional arrangements are also very different on the two sides of the border. In Spain, the Basque people are recognized by the constitution as a nationality within the Spanish nation. Hegoalde is a clearly delineated territory with its own government, parliament, budget and taxation system. The Basque language is officially recognized and taught in

<sup>2</sup> National identity is primarily marked by identification with a specific nation. The concept of “ethnonational identity” goes further in that it refers to an identity marked not only by identification with a nation, but also by a code dictating who can and cannot belong (Bray, 2006).

schools, and use of it is given importance in both the public and private worlds. By contrast, Iparralde is part of a larger administrative entity, the Département des Pyrénées Atlantiques, which in turn is part of the much larger region of Aquitaine. However, the language is one of the most important identity markers for Basque youths in Iparralde, but it enjoys only a minimal position in the French public space. Only approximately 27 percent of the population of Iparralde can speak Basque and these are largely people above 50 years of age. The French state continues to refuse any official status for regional languages, contrary to the European Charter for Minority Languages drafted by the Council of Europe and ratified by most EU member states. So while on the Spanish side numerous people live out their identification with Basqueness quite comfortably, on the French side, Basque youths worry about how their language and sense of collective identity are going to survive (Bray, 2006).

### **Frankfurt (Oder) – Słubice (German-Polish border)**

Before the Second World War, Frankfurt (Oder) and Słubice formed a single German town, divided by the river Oder. In 1945, the Eastern part of the river became an autonomous Polish town, Słubice, and the Oder, as major commercial waterway, a state frontier. Located 80 km east of Berlin, this cross-border conurbation has a population of 80,000 (75% on the German side and 25% on the Polish side) (Mission Operationelle Transfrontalière, 2009). In the Polish side the town belongs to the Lubuskie province and in the German side it is part of the Brandenburg region (Dudek et al, 2014).

Towns located on the international borders of the EU are regularly described as the “laboratories” of European integration because cross-border contact and interaction is very intensive in these regions. These cities are also locations where the EU has most vigorously pursued policies aimed at de-emphasizing national boundaries (Asher, 2005). Cross-border cooperation between Frankfurt (Oder) – Słubice began in the early 1990s, after German reunification and the easing of border controls. The first initiative was the elaboration of the common document “European city of Frankfurt– Słubice – state of play, tasks and perspectives” on the future actions for cooperation in the cross-border conurbation. At the same time, Frankfurt and Słubice, along with other municipalities on both sides of the border, decided to create the Pro Europa Viadrina Euroregion in 1993. In 1994, the two cities produced a common planning document covering the whole cross-border urban area. During this period, the two municipalities started to organise meetings between the mayors and municipal councils. Ten years later, the towns produced a programme for cooperation and the joint development of a European City. They then participated in the “City Twins Cooperation Network” within the framework of Interreg IIIC. From 2008 to 2010, the cross-border conurbation was a partner in the URBACT “EGTC” project, which has helped to clarify the role of actors in cooperation and develop a strategy for joint governance. (Mission Operationelle Transfrontalière, 2015).

The level of social integration in Frankfurt (Oder) – Słubice is considered rather low. Language and cultural barriers as well as the short tradition of borderland operation cause the lack of non-commercial contacts. Because of this, the relationship between Germany and Poland has remained mainly commercial, with the exception of academic circles (Dudek, et al, 2014). The mental borders between Polish and German borderlanders are determined by historical distrust and economic disparities. Several scholars who have written on recent Polish-German cooperation remarked that for true cooperation to develop between Poland and Germany, historical distrust and economic disparities must be overcome (Brym, 2011).

In order to present main features of the identity in this border region, the paper refers to a work of a research group (Budach et al, 2014), who conducted 10 interviews in Frankfurt (Oder) and 10 in Słubice about the cultural identity and the relations with people from the other side of the border. They also asked how people express their identity and what it means to be Polish in Słubice or German in Frankfurt (Oder). They interviewed 14 women and 6 men, 25 questions have been prepared in Polish and German language. The field work was done at the 13th of May 2014. This research offers a lot of interesting information about the people’s cultural background and about trans-border cooperation. This kind of close neighbouring across the border leads often to involuntary integration. One of the main conclusions is that the most important barrier for better integration is the language barrier between Polish and German. Only a few people can talk both languages and translation is needed during

cooperation projects. For example, in Frankfurt only 8% of people study Polish. That creates a lot of challenges in terms of cooperation between Słubice and Frankfurt (Oder). This research also revealed that people of Frankfurt (Oder) and Słubice think that cooperation between both towns is an important part of living in the borderland. Both, Poles and Germans consider the Polish-German relations as positive. Cooperation between the towns produces cultural benefits and improves the communication across the borderline. This study also shows that Germans might see Polish people and the land itself less developed than Germany and that might cause some conflicts in cooperation. People on both sides of the river mentioned that the cultural identity is important but they only talked about their own cultural and national identity. There is no real common borderland identity in Frankfurt (Oder) and Słubice. People of both cities think that the open border is important because it is easier if people are living and working in the other town. People also think that the border area is an advantage and possibility for both sides. All in all, nevertheless that the border is open and there are a lot of cooperations across the border, people see themselves either Polish or German. Maybe in the future if the border crossing cooperation continues there is a possibility that some kind of common border identity might be born (Budach et al, 2014).

### Conclusion

The paper was looking for the answers, why the identity is so specific in the cases of border regions, how the cross-border integration can link to the spatial identity and how the level of integration can influence the identity of the inhabitants of the borderland.

First of all, the space-related identity is an important topic in border areas, because of more reasons. Firstly, the borders have identity producing functions and secondly, they are symbols of social institutions and power relations (Paasi, 1998). Thus, elements of the identity can be different compared to non-borderland areas. Because the border regions are even not so homogeneous, they are very distinct from the aspects of the level of integration; the paper investigated firstly the selected border areas from this point of view, after that from the aspect of the identity. Summarizing, we can say that spatial integration among the examined border areas is growing in all of cases, especially thanks to several EU supported projects and economic differences (e.g. property prices, wages, etc.) but its current level and intensity is rather different. Based on the scientific literature, the spatial integration is stronger in the Öresund and Basque region, where there are not really cultural gaps, because the Danes and Swedes belong to Scandinavian culture, furthermore the Basque community is also more or less homogeneous (apart from smaller national specificities). So, they are traditionally closer to each other, which can be a crucial factor in the integration process.

This higher stage of integration can support the emergence of a common regional identity. This is proven by the fact that the concept of one common region enjoys strong support among the Öresund Region's residents. In the Basque region, an increasing number of inhabitants now cross the frontier regularly and numerous economic changes have taken place. The possibilities of the preserving of Basque identity are rather different in the two sides of the border; the Spanish Basque community with larger political autonomy has a more favorable position in this regard than the French Basques. Frankfurt (Oder) – Słubice can be considered to be the most lagging compared to the other two border regions, because of language and cultural barriers as well as the short tradition of borderland operation. In this region, the mental borders are determined by historical distrust and economic disparities. Moreover, Germans might see Polish people and land less developed than Germany and that might cause some conflicts in cooperation. To sum up, because of weaker integration, there is not a common borderland identity in Frankfurt (Oder) and Słubice.

All in all, we can accept the hypothesis of the paper, which assumed that the population can identify better with that borderland, where physical and mental borders have less or no importance, than people living in separated border regions. In addition, the paper did not examine how the economic situation of the border regions can influence the level of integration and therefore the emergence of a common borderland identity. The above investigated border areas are rather distinct from this point of view as well. It can be a topic of further research, whether the economically most developed border areas have



more chance to share a common borderland identity, or the less developed, rural, peripheral areas are able to build up it.

### References

- Anderson, James – O'Dowd, Liam (1999) Borders, Border Regions and Territoriality: Contradictory Meanings, Changing Significance. *Regional Studies* Vol. 33, No. 7. pp. 593-604.
- Asher, Andrew D (2005) Bridging the Divide? Ethnic Identity and Transnational Consumption in a "European City". [http://www.euc.illinois.edu/includes/docs/Asher\\_Divide.pdf](http://www.euc.illinois.edu/includes/docs/Asher_Divide.pdf) [2015.05.11.]
- Bartolomé Peral, Edurne (2013) Basque and Spanish Identity in a Changing Context. *Journal on Ethnopolitics and Minority Issues in Europe* Vol 12, No 2, 59-78.
- Boe, De, C. Grasland, A. Healy et al. (1999) Spatial integration. [http://www.mcrit.com/SPESP/SPESP\\_REPORT/1.4.%20Final%20Report%20\(23-05-2000\).pdf](http://www.mcrit.com/SPESP/SPESP_REPORT/1.4.%20Final%20Report%20(23-05-2000).pdf) 33-46. [2015.04.16.]
- Bray, Zoe (2002) Boundaries and Identities in Bidasoa-Txingudi, on the Franco-Spanish frontier. Thesis, European University Institute, San Domenico, Italy. p. 214.
- Bray, Zoe (2006) Basque militant youths in France: new experiences of ethnonational identity in the European context. *Nationalism and Ethnic Politics*, 12:533–553.
- Brym, Michelle (2011) The Integration of European Union Borderlands: A Case Study of Polish Opinions on Cross-Border Cooperation along the Polish-German Border. *The University of the Fraser Valley Research Review* Vol. 3, No. 3. pp. 15-33.
- Bucken-Knapp, Gregg (2002) Testing our borders: Questions of national and regional identity in the Öresund region, *Journal of Baltic Studies*, 33:2, 199 - 219
- Budach, Christian – Bernacka, Patrycja, et.al. (2014) Borderland: Border landscape across border. Cultural identity across the border. Słubice. [https://wiki.uef.fi/download/attachments/33658603/Cultural%20identity%20across%20the%20border\\_report.pdf?version=1&modificationDate=1401883625000&api=v2](https://wiki.uef.fi/download/attachments/33658603/Cultural%20identity%20across%20the%20border_report.pdf?version=1&modificationDate=1401883625000&api=v2) [2015.05.06.]
- Delanty, Gerard, (2006) Borders in a Changing Europe: Dynamics of Openness and Closure, *Comparative European Politics* Vol. 4, No. 2 and 3, pp. 183-202.
- Douglass, William (1996) Basques. *Encyclopedia of World Cultures* <http://www.encyclopedia.com/doc/1G2-3458000030.html> [2015.04.19.]
- Dudek, Agnieszka – Kaczmarek, Maciej et al (2014) The commercial role of the border areas. The case of Frankfurt(Oder) – Słubice. [https://wiki.uef.fi/download/attachments/33658603/The%20commercial%20role%20of%20border%20area\\_report.pdf?version=1&modificationDate=1400483360000&api=v2](https://wiki.uef.fi/download/attachments/33658603/The%20commercial%20role%20of%20border%20area_report.pdf?version=1&modificationDate=1400483360000&api=v2) [2015.05.11.] p. 29.
- Eustat (2013) In 2011 one in every four Basque Country residents had been born outside of the autonomous region. Population and Housing Census (CPV). [http://en.eustat.es/elementos/ele0010900/ti\\_In\\_2011\\_one\\_in\\_every\\_four\\_Basque\\_Country\\_residents\\_had\\_been\\_born\\_outside\\_of\\_the\\_autonomous\\_region/not0010920\\_i.html#axzz3Y2HBkGTq](http://en.eustat.es/elementos/ele0010900/ti_In_2011_one_in_every_four_Basque_Country_residents_had_been_born_outside_of_the_autonomous_region/not0010920_i.html#axzz3Y2HBkGTq) [2015.04.22.]
- Everyculture.com (2015) <http://www.everyculture.com/wc/Rwanda-to-Syria/Basques.html> [2015.04.22.]
- Heller, Wilfried (2011) Identities and conceptions of border area populations in East-Central and South-East Europe –Thematic aspects and questions of an actual research field. *Journal of Urban and Regional Analysis*, vol. III, 1, p. 5-12.
- Hofstam, Johanna – Waldemarsson, Åsa (2006) Attitudes towards the Region of Öresund among transnational work commuters. Malmö University School of International Migration and Ethnic Relations. Bachelor Thesis, p.60.
- Itçaina, Xabier (2014) Social Economy, Culture and Identity across the Border: Lessons from the Basque Case. <http://www.unrisd.org/UNRISD/website/newsview.nsf/%28httpNews%29/D7BE3ADF1D2C0DB1C1257CCA002F2E84?OpenDocument> [2015.04.20.]
- Jokinen, Niina (2005) Basques and Basqueness: Competing and conflicting identities. Master Thesis. Department of Geography University of Joensuu. [http://epublications.uef.fi/pub/URN\\_NBN\\_fi\\_joy-20070106/URN\\_NBN\\_fi\\_joy-20070106.pdf](http://epublications.uef.fi/pub/URN_NBN_fi_joy-20070106/URN_NBN_fi_joy-20070106.pdf) [2015.04.20.]



- Marcuse, Peter (1997) The enclave, the citadel, and the ghetto: what has changed in the post-Fordist US city. *Urban Affairs Review*. 33.2, 228–64.
- Marcuse, Peter (2005) Enclaves yes, ghettos no. In D.P. Varady (ed.), *Desegregating the city: ghettos, enclaves, and inequality*, State University of New York Press, Albany, NY.
- Matthiessen, Christian Wichmann (2004) The Öresund Area: Pre- and post-bridge cross-border functional integration: the bi-national regional question. *GeoJournal* 61: 31–39.
- McEwen, Nicola – Petersohn, Bettina (2014) Insights from the border between Sweden and Denmark. [http://www.centreonconstitutionalchange.ac.uk/sites/default/files/papers/Spotlight%20on%20borders Sweden-Denmark FINAL.pdf](http://www.centreonconstitutionalchange.ac.uk/sites/default/files/papers/Spotlight%20on%20borders%20Sweden-Denmark_FINAL.pdf) [2015.04.19.]
- Menendez-Baceta Gorka – Aceituno-Mata, Laura, et.al. (2015) The importance of cultural factors in the distribution of medicinal plant knowledge: A case study in four Basque regions. *Journal of Ethnopharmacology*. 161. 116–127.
- Mission Operationelle Transfrontalière (2009) Cross-border news. No.46. January. <http://admin.interact-eu.net/downloads/1060/> [2015.05.06.]
- Mission Operationelle Transfrontalière (2015) Frankfurt (Oder)–Ślubiice. <http://www.espaces-transfrontaliers.org/en/resources/territories/cross-border-conurbations/frankfurt-oder-slubice/frankfurt-slubice-3/> [2015.05.06.]
- Newman, David. - Paasi, Anssi. (1998). Fences and neighbours in the postmodern world: boundary narratives in political geography. *Progress in Human Geography* 22 (2): 186-207.
- OECD (2013) Regions and Innovation. Collaborating across Borders. p. 235. <http://www.oecd.org/innovation/regions-and-innovation-collaborating-across-borders.htm> [2015.04.19.]
- Öresundsbron (2010) 10 years - The Öresund Bridge and its region. <http://uk.oresundsbron.com/download/387> [2015.04.19.]
- Öresundskomiteen (2013) The Öresund Integration Index. <http://www.oresundskomiteen.org/en/2013/10/the-oeresund-integration-index/> [2015.04.19.]
- Paasi, Anssi (1986) The Institutionalisation of Regions: A Theoretical Framework for the Understanding of the Emergence of Regions and the Constitutions of Regional Identity, *Fennia*, 164: 105-146.
- Paasi, Anssi (1998) Boundaries as Social Processes: Territoriality in the World of Flows, *Geopolitics* Vol. 3, No.1, pp. 69-88.
- Paasi, Anssi (2003) Region and Place: Regional Identity in Question, *Progress in Human Geography*, 27 (4): 475-485.
- Paasi, Anssi (2009) The resurgence of the region and regional identity: Theoretical perspectives and empirical observation on regional dynamics in Europe. *Review of International Studies* 35, 121–146.
- Raagmaa, Garri (2002) Regional Identity in Regional Development and Planning, *European Planning Studies*, 10 (1): 55-76.
- Risse, Thomas (2004) European Institutions and Identity Change: What have we Learned? in R. K. Herrmann, T. Risse and M. B. Brewer (eds.), *Transnational Identities: Becoming European in the EU* (Lanham: Rowman and Littlefield Publishers, 2004), pp. 248-253.
- Ruiz-Tagle, Javier (2013) A Theory of Socio-spatial Integration: Problems, Policies and Concepts from a US Perspective. *International Journal of Urban and Regional Research*. Volume 37.2 March 388–408.
- Santanichia, Massimo (2003) The Öresund Region. Toward a new Social Identity. Architectural Association School of Architecture. <http://www.grin.com/en/e-book/212645/the-oresund-region-toward-a-new-social-identity> p. 10.
- Semian, Michal –Chromý, Pavel (2014) Regional identity as a driver or a barrier in the process of regional development: A comparison of selected European experience, *Norsk Geografisk Tidsskrift - Norwegian Journal of Geography*, 68:5, 263-270.
- Smallbone, David – Labrianidis, Lois – Venesaar, Urve – Welter, Friederike – Zashev, Peter (2007) Challenges and prospects of cross border cooperation in the context of EU enlargement. Deliverable 7. State of the art literature review. Kingston University. [http://www.bamde.org/Publications/Integrated\\_lit\\_review.pdf](http://www.bamde.org/Publications/Integrated_lit_review.pdf) p. 213. [2015.04.18.]

- Sohn, Christopher (2014) Modelling cross-border integration: the role of borders as a resource. *Geopolitics*. 26/08/2014.
- Tangkjær, Christian (1999) Performing a Transnational Region - The Importance of "Open House Strategy". *MPP Working Paper* No. 8/99. p. 17.
- Van Houtum, Henk - Kramsch, Olivier, - Zierhofer, Wolfgang (Eds.). (2005). *B/Ordering Space*. Burlington, VT: Ashgate. 262 p.
- Yndigegn, Carsten (2011) Between Debordering and Rebordering Europe. Cross-Border Cooperation in the Öresund Region or the Danish-Swedish Border Region. *Eurasia Border Review* Vol 2, No 1.
- Zimmermann-Steinhart, Petra (2005) Creating regional identities? Theoretical considerations ECPR Joint Sessions of Workshops, Granada 14-19 April 2005. Societal Regionalism in Western and Eastern Europe. <http://ecpr.eu/Filestore/PaperProposal/a8a65636-f467-4941-bc64-43ccbaac8638.pdf> p. 16. [2015.04.18.]

# A Silent Pathway to Depression: Social Anxiety and Emotion Regulation as Predictors of Depressive Symptoms

*Salvador, M. C., University of Coimbra, Portugal*

*Oliveira, S. A., University of Coimbra, Portugal*

*Matos, A. P., University of Coimbra, Portugal*

*Arnarson, E., University of Iceland, Iceland*

*Craighead, W. E., Emory University, Atlanta, United States of America*

## Author Note

This work is funded by ERDF – European Regional Development Fund through the COMPETE Program (operational program for competitiveness) and by National Funds through the FCT – Fundação para a Ciência e a Tecnologia (Portuguese Foundation for Science and Technology) within project “Prevention of depression in Portuguese adolescents: Efficacy study of an intervention with adolescents and parents” (PTDC/MHC-PCL/4824/2012).

Corresponding author: Maria do Céu Salvador, Faculty of Psychology and Educational Sciences, University of Coimbra, Rua do Colégio Novo, 3000-115, Portugal. E-mail: ceusalvador@gmail.com

## Abstract

**Background:** Social anxiety is the most common comorbid disorder in patients with major depressive disorder, almost always preceding it and aggravating its presentation and course. A possible mechanism to explain this relationship may well be the use of specific maladaptive emotion regulation strategies, common to depression and social anxiety.

**Objectives:** This study aimed to explore, in an adolescent sample, if depression could be predicted by social anxiety and if emotion regulation strategies would mediate this relationship.

**Method:** The sample included 527 adolescents from the general population (59.2% were girls;  $M_{age} = 13.8$ ;  $SD = 7.57$ ). Self-report scales measuring depression, social anxiety and cognitive emotion regulation were filled out.

**Results:** Depression and social anxiety showed significant, positive and moderate correlations with all cognitive emotion regulation strategies (self-blame, catastrophizing, and rumination), exception made for the correlation with other-blame, which was very low. The final mediation model explained 39% of depressive symptomatology, with social anxiety having both a direct and an indirect effect. The only significant mediation variable that accounted for this indirect effect was self-blame.

**Conclusions:** The results clearly point to the role of social anxiety in adolescents' depressive symptoms either directly or indirectly, through self-blame. These results call attention to the importance of discriminating social anxious and depressive symptomatology offering specific preventive or therapeutic approaches for both conditions or including different components in these approaches to address both depression and social anxiety. Furthermore, effective intervention should also target specific cognitive emotion strategies. Theoretical and clinical implications are considered.

**Keywords:** Depression, social anxiety, cognitive emotion regulation, adolescents

## Introduction

### *Depression and social anxiety in adolescence*

The transition into adolescence involves a number of biological, cognitive, and social changes, making adolescence a particularly demanding period due to the several challenging developmental tasks it includes. Entering adolescence means dealing with a changing body, often going into a new school, having new peers and having to make new friends. Adolescents have to develop a sense of identity and emotional independence. They start turning to peers instead of parents for emotional support and social acceptance becomes more and more important, bringing about the awareness of being social objects more so than during childhood (Petersen & Spiga, 1982; Rubin, Coplan, & Bowker, 2009; Sroufe & Rutter, 1984). In face of all these changes and challenges, it is not surprising that many adolescents experience increased negative affect, emotional reactivity, social anxiety and risk for internalizing symptoms (Arnet, 1999; Larson and Ham, 1993; Parker & Asher, 1987). Therefore, the successful negotiation of these tasks results in a healthier and more prepared system to face the demands of the next period whereas its inadequate resolution may result in maladaptive strategies that may be expressed in anxiety or depression problems.

In fact, adolescence is a probable period to develop major depressive disorder (MDD) and social anxiety disorder (SAD), two of the most prevalent mental disorders (Kessler, Chiu, Demler, Merikangas, & Walters, 2005). Adolescents' depression is a highly prevalent and serious mental health condition due to its prevalence, comorbidity, tendency to chronicity and impact (Petersen, Compas, Brooks-Gunn, Stemmler, & Grant, 1993), with a peak of onset around 15 years of age (Fergusson, Horwood, Ridder, & Beautrais, 2005). A recent study (Avenevoli, Swendsen, Jian-Ping, Burstein, & Merikangas, 2015) points to a lifetime prevalence and 12-month prevalence of MDD of 11% and 7.5%, respectively.

On the other hand, social anxiety disorder, characterized by an intense fear of being scrutinized by other people resulting in marked fear and anxiety in social situations often coupled with the avoidance of such situations, has its onset in adolescence and tends to follow a chronic course (APA, 2013), with a high negative impact and functional impairment in the adolescents' life (see Salvador, 2009, for a review).

MDD and SAD are frequently comorbid conditions, both in youth (Beidel, et al, 2007; Chavira, Stein, Bailey, & Stein, 2004; Crawley, Beidas, Benjamin, Martin, & Kendall, 2008; Essau, Conrad, & Petermann, 1999; Ranta, Kaltiala, Rantanen, & Marttunen, 2009; Viana, Rabian, & Beidel, 2008; Wittchen, Stein, & Kessler, 1999) and in adults (Kessler, Stang, Wittchen, Stein, & Walters, 1999; Kessler, Berglund, Demler, Jin, Merikangas, & Walters, 2005), with SAD being considered the most common comorbid anxiety disorder in patients with MDD (Belzer & Schneier, 2004). In addition, the comorbidity between SAD and MDD is associated, in both disorders, with greater impaired functioning, more severe and chronic course, greater risk of relapse, and, in general, worse prognosis than when the disorders present independently (Brown, Schulberg, Madonia, Shear, & Houk, 1996; Dalrymple, & Zimmerman, 2007, 2011; DeWit, Ogborne, Offord, & MacDonald, 1999; Lecrubier, 1998; Lewinsohn, Rohde, & Seeley, 1995; Ruscio, et al, 2008; Stein, et al, 2001). Furthermore, most patients with SAD who seek psychiatric treatment, primarily seek treatment for MDD, leaving SAD undiagnosed and untreated (Brown, Campbell, Lehman, Grisham, & Mancill, 2001; Dalrymple & Zimmerman, 2007; Lecrubier, 1998; Zimmerman & Chelminski, 2003).

Interestingly, several studies found that SAD precedes the onset of MDD (Beesdo, et al, 2007; Beidel, Turner, Morris, 1999; Chavira, et al, 2004; Dalrymple & Zimmerman, 2011; De Graaf, Bijl, Spijker, Beekman, & Vollebergh, 2003; Kessler, et al, 1999; Stein et al, 2001; Wittchen et al, 1999), indicating SAD as an important predictor of subsequent depression. As an example, Kessler and collaborators (1999), in a large adult sample, found that 68,5% of the patients with a mood disorder and SAD stated that SAD occurred at an earlier age. Also, in a study from Beesdo et al (2007), in a 10-year prospective longitudinal study with participants aged 14 to 24 years at baseline and 21 to 34 at follow up, the risk of depression was 2-fold in individuals with SAD compared to those without SAD and almost 3-fold compared to individuals with no anxiety disorder, regardless of age. Moreover, Aune & Stiles (2009) found that youth level of social anxiety symptoms was a significant predictor of initial depressive symptoms, while depression did not predict later social anxiety.

#### *Emotion regulation in depression and social anxiety*

Despite the marked changes posed by adolescence, many adolescents manage to cope with them fairly well, never developing any psychiatric disorder. This may be due to the strategies adolescents use to deal with their increased negative emotions, a process that is called emotion regulation (e.g., Tillfords & Van Zalk, 2015), defined as “extrinsic and intrinsic processes responsible for monitoring, evaluating, and modifying emotional reactions, especially their intensive and temporal features, to accomplish one’s goals” (Thompson, 1994, pp.27-28). In general, emotion regulation strategies refer to processes that aim to monitor, evaluate and modify emotions, altering their intensity, duration and/or valence (Gross & John, 2003).

In fact, to overcome the constant adolescence psychological challenges, adolescents are required to develop emotion regulation strategies, namely through conscious cognitive processes. Luckily enough, it is also during this period that important cognitive abilities develop, giving way to the development of cognitive coping skills. Adolescents are able think in abstract terms and to monitor their own process of thinking. These abilities enable them to plan ahead or to find different/alternative explanations for a given event, thereby regulating their emotions and not getting overwhelmed by them during a stressful life event (Garnefski, Legerstee, Kraaij, Van den Kommer, & Teerds, 2002). Examples of cognitive coping strategies are self-blame (blaming yourself for what happened), blaming others (putting the blame of what was experienced on the environment or another person), rumination (thinking about the feelings and thoughts associated with the negative event), catastrophizing (thoughts emphasizing the terror of what was experienced), acceptance (thoughts of acceptance of what was experienced) or positive reappraisal (thoughts of creating a positive meaning to the event) (Garnefski, Kraaij, & Spinhoven, 2001; Garnefski & Kraaij, 2006).

Although these cognitive abilities are universal, there are large individual differences in the strategies used, the frequency with which they are used, and in the content of thoughts adolescents use to regulate their emotions (Garnefski et al, 2002), acting as risk or protective factors in the development of psychopathology (McLaughlin, Hatzenbuehler, Mennin, & Nolen-

Hoeksema, 2011; Silk, Steinberg, & Morris, 2003). Therefore, some of these cognitive emotion regulation strategies may allow adolescents to better cope with negative life events, while some other emotion regulation strategies, if used systematically, are considered maladaptive, forming an important risk factor for psychopathology in adolescents and adults. Garnefski and collaborators (2001) have found that cognitive emotion regulation strategies such as self-blaming, catastrophizing and rumination played an important role in the relationship between the experience of negative life events and maladjustment.

More specifically, depression has been consistently and positively associated to self-blame, rumination, and catastrophizing and negatively associated to positive reappraisal (Garnefski et al., 2001; Garnefski, & Kraaij, 2006; Garnefski, Boon, & Kraaij, 2003; Garnefski, Rieffe, Jellesma, Terwogt, & Kraaij, 2007; Garnefski, Teerds, Kraaij, Legerstee, & Van den Kommer, 2004; Martin & Dahlen, 2005; Ongen, 2010), with rumination acting as the most frequent predictor of depressive symptoms (e.g., Broderick & Korteland, 2004; Burwell & Shirk, 2007; Hankin, 2008; Nolen-Hoeksema, Stice, Wade, & Bohon, 2007) and of the onset of clinical depressive episodes (Abela & Hankin, 2011). Moreover, in a very recent study, self-blame has also found to be associated with the prodrome period before the onset of the first MDD episode in adolescents (Sheriff, McGorry, Cotton, & Yung, 2015).

Despite the fact that emotion regulation was not a common research theme on SAD, interest in understanding emotion regulation in SAD is growing (e.g., Hofmann, 2010; Hofmann, Sawyer, Fang, & Asnaani, 2012; Turk, Heimberg, Luterek, Mennin & Fresco, 2005) and studies in this area are accumulating over recent years, all of them finding significant associations between social anxiety and emotion regulation difficulties (e.g., Eastabrook, Flynn, & Hollenstein, 2014; Farmer & Kashdan, 2012; Helbig-Lang, Rush, Winfried, & Lincoln, 2015; Jazaoeri, Morrison, Goldin, & Gross, 2015; O'Toole, Jensen, Fentz, Zachariae, & Hougaard, 2014). Several studies have suggested that SAD is also characterized by elevated rumination, either in anticipation of the feared situation (Vassilopoulos, 2005) or following the feared situation (e.g., Abbot & Rapee, 2004; Brozovich & Heimberg, 2008; Edwards, Rapee, & Franklin, 2003). Other emotion regulation strategies have also been studied and associated to SAD or to social anxiety symptoms, such as suppression (e.g., Kashdan & Breen, 2008; O'Toole et al, 2014), experiential avoidance (e.g., Kashdan et al, 2013), and reappraisal (e.g., Kashdan et al., 2013; O'Toole et al, 2014). Reappraisal was also found to be associated SAD treatment effects (Goldin et al, 2012; Moscovich et al., 2012). However, unlike in depression studies, where self-blame and catastrophizing are frequent variables to be studied, we found no study in which the relation between social anxiety and catastrophizing was approached and only one, using an adult sample, that studied and found a relationship between social anxiety and self-blame (Gilbert & Miles, 2000). This scarcity leaves room for further studies on these themes.

Some research is also investigating the relation between social anxiety, depression and emotion regulation strategies, exploring possible pathways between the two psychopathological conditions and trying to account for the enormous comorbidity they present. A recent study investigated the use of rumination for SAD and MDD patients (D'Avanzato, Joorman, Siemer, & Gotlib, 2013). Both disorders were found to be characterized by high levels of rumination but depression showed even higher levels of rumination. Another study (Eastabrook et al, 2014) suggested that adolescents' emotional regulation strategies (suppression and reappraisal) played an important role in determining depressive and social anxiety symptoms. On the other hand, social anxiety also played a role in emotion regulation, predicting higher levels of rumination over time (Jose, Wilkins, & Spendelow, 2012). Closer to our goal, two studies explored the mediation role of rumination and brooding between social anxiety and depression. In one of these studies (Drost, Van denr Does, Van Hemert, Pennix, & Spinhoven, 2014), rumination and worry were found to mediate the association of baseline fear disorders, among which was SAD, with distress disorders, among which was MDD. In this study, changes in rumination and worry also mediated the relation between baseline fear disorders and changes in distress disorders. Consistent with this result, Grant and collaborators (2014) also found a mediation role of brooding (a particular form of rumination) between Time 1 social anxiety and Time 3 depression.



## Aims

In line with the revised literature and given that the research on the association between social anxiety and depression in adolescent is still at its beginning, this study aimed to explore how social anxiety and emotion regulation may predict depression.

By using cognitive emotion regulation strategies, such as self-blame, rumination, catastrophizing and blame-others, adolescents may be more vulnerable to develop internalizing disorders, namely social anxiety and depression. Therefore, we sought to examine the direct effect of social anxiety on depressive symptomatology, as well as its indirect effect through self-blame, rumination, catastrophizing and other-blame. It was expected that levels of social anxiety would be associated with levels of depressive symptoms, and that social anxiety and maladaptive cognitive emotion regulation strategies would predict depression.

Thus, the two investigated hypotheses were (see Figure 1): a) Social anxiety is a predictor of depressive symptoms; b) The effect of social anxiety on depressive symptomatology is mediated (totally or partially) by self-blame, rumination, catastrophizing and other-blame.

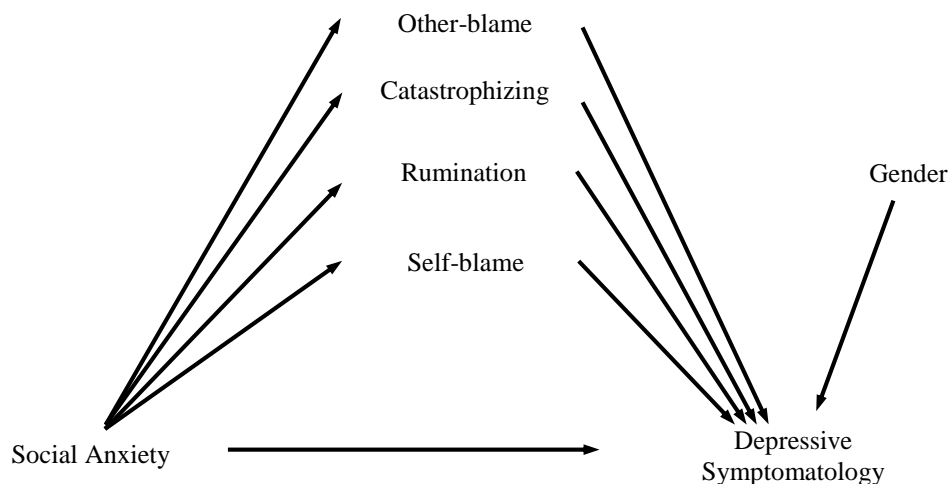


Figure 1. Theoretical model for mediation effects

## Method

### Participants

Participants for this study were recruited as a part of a Portuguese Project: “Prevention of depression in Portuguese adolescents: Study of the efficacy of an intervention with adolescents and parents”. The sample included 527 adolescents from the general population, in which 215 were boys (40.8%) and 312 were girls (59.2%), between from 13 and 15 years of age ( $M = 13.84$ ;  $SD = 7.57$ ), and attending the 8<sup>th</sup> and 9<sup>th</sup> grades in public schools. We did not find significant differences between genders on age ( $t_{(525)} = -.638$ ,  $p = .518$ ).

### Procedure

Permission to conduct the study was obtained from national entities that regulate scientific research. Schools were contacted in order to request their participation. After their approval, authorization was also obtained from students and their parents. Anonymity was ensured to the participants as well as confidentiality of the data. After obtaining all permissions required, the research protocol was applied in a classroom setting, before any psychological intervention. The exclusion criteria were: (a) incomplete fill of scales/missing index higher than 10% in each scale; (b) subjects below 13 and above 15 years of age (once the bigger project that included this study aims to prevent the first major depressive episode that usually happens around 15 years old).

### Measures

#### *Social Anxiety*

*The Multidimensional Anxiety Scale for Children* (MASC, March, J. et al. 1997; Portuguese Version: Salvador, M. C. et al. 2015). The MASC is a self-report instrument that

assesses anxiety symptoms in children and adolescents aged from 8 to 19 years old. It consists of 39 items, rated on a Likert scale of 4 points (from 0 = "never or almost never true" to 3 = "often true"). The original authors found four factors, three of which presented two sub-factors: a) *physical symptoms* (12 items), with sub-factors *tense/restless* (6 items) and *somatic* (6 items); b) *harm avoidance* (9 items), with sub-factors *perfectionism* (4 items) and *anxious coping* (5 items); c) *social anxiety* (9 items) that includes the sub-factors *humiliation* (5 items), *public performance* (4 items) and d) *separation anxiety* (9 items). March, J. and colleagues (2001) obtained alpha coefficients ranging from .68 to .83. The Portuguese version revealed that the internal consistency scores were acceptable for all factors of the MASC, excepting the sub-factors Perfectionism and Anxious Coping. The scale total, factors, and sub-factors showed moderate to high temporal stability. In this research, we studied only the factor social anxiety. The alpha value will be presented in Table 1.

### *Emotion Regulation*

*Cognitive Emotion Regulation Questionnaire* (CERQ, Garnefski, et al., 2001; Portuguese version: Matos & Serra, 2009). The CERQ is a self-report questionnaire that assesses specific cognitive emotional regulation strategies used by the adolescents when facing negative life events. Participants rated 36-statements on a 5-point Likert scale ranging from 1 (almost never) to 5 (almost always). To illustrate, some questions of this questionnaire: "I feel that I am the one to blame for it", "I think about the mistakes I have made in this matter". The CERQ has 9 subscales: self-blame, rumination, catastrophizing, other-blame, acceptance, positive reappraisal, refocus on planning, putting into perspective, positive refocusing. Garnefski and collaborators (2001) obtained alpha coefficients ranging from .68 to .83. In the Portuguese version (Matos & Serra, 2009) alpha coefficients ranged from .68 to .83 as well.

### *Depressive Symptomatology*

*Children's Depression Inventory* (CDI, Kovacs, 1985; Portuguese version: Marujo, 1994). The CDI is a 27-item self-report measure depressive symptoms over the two previous weeks in 7 to 17 year-old children. It has three answering options that range from 0 (no problem) to 2 (severe problem). Kovacs (1985) found five factors with Cronbach's alpha coefficients ranging .83 to .94. In the Portuguese version (Marujo, 1994) a unifactorial structure was found, with an alpha coefficient of .80 for the total scale.

## **Results**

### **Data analysis**

Data was explored using SPSS (Statistical Package for the Social Sciences), version 20 (IBM Corp, Armonk, NY, USA) and AMOS version 20. Descriptive statistics were conducted to explore sample's characteristics. Gender differences were tested using independent sample t-tests, and two-tailed Pearson correlation coefficients were performed to explore the relationships between predictor variables, outcome variables, and mediators (Cohen, Cohen, West, & Aiken, 2003; Tabachnick & Fidell, 2007).

Cohen's guidelines (1988) were used for describing the effect sizes of reported correlations (i.e. small for correlations around .10, medium for those near .30, and large for correlations at .50 or higher). Significance was set at the .01 and .05 levels.

According to Kline (2005), path analysis 'involves the estimation of presumed causal relations among observed variables' (p. 93) and test theoretical relationships on the basis of covariation and correlations among variables. To test the mediator effect of self-blame, rumination, catastrophizing and other-blame in the relationship between social anxiety and depressive symptomatology a path analysis was conducted.

A maximum likelihood method was used to evaluate the significance of the model's path coefficients. Bootstrap resampling procedure (2000 cases) was conducted to analyze the significance of the effects. The results were considered significant at the .001 level if the 95% CI did not include the zero (Kline, 2005).

Multivariate outliers were screened using Mahalanobis squared distance ( $D^2$ ) method, and univariate and multivariate normalities were assessed by skewness and kurtosis coefficients. There was no severe violation of normal distribution ( $|Sk| < 3$  and  $|Ku| < 8-10$ ) (Kline, 2005). Regarding multicollinearity or singularity amongst the variables, Variance Inflation Factor (VIF) values indicated the absence of  $\beta$  estimation problems ( $VIF < 5$ ). Effects with  $p < .01$  were considered statistically significant.

### Descriptives

The means, standard deviations and Cronbach's alphas for all variables used are presented on Table 1. All scales showed reasonable to good internal consistencies (Pestana & Gageiro, 2005).

Table 1.  
Means ( $M$ ), standard deviations ( $SD$ ) and Cronbach's Alpha for all subjects ( $N=527$ )

Variables	$M$	$SD$	$\alpha$
MASC			
Social Anxiety	1.36	0.66	.88
CDI			
Depressive Symptomatology	11.18	7.08	.77
CERQ			
Other-blame	1.94	0.71	.79
Catastrophizing	2.29	0.88	.79
Rumination	20.17	0.89	.79
Self-blame	2.53	0.82	.77

Note: MASC: Multidimensional Anxiety Scale for Children; CERQ: Cognitive Emotion Regulation Questionnaire; CDI: Children's Depression Inventory.

Gender differences were tested and significant differences were found on in the majority of variables (Table 3). Girls scored significantly higher than boys in depressive symptoms ( $M_{girls} = 12.54$ ,  $SD = 7.56$ ;  $M_{boys} = 9.19$ ,  $SD = 5.78$ ), social anxiety ( $M_{girls} = 1.48$ ,  $SD = .66$ ;  $M_{boys} = 1.18$ ,  $SD = .60$ ) and rumination ( $M_{girls} = 3.02$ ,  $SD = .87$ ;  $M_{boys} = 2.59$ ,  $SD = .85$ ). Boys scored higher than girls only in other-blame ( $M_{girls} = 1.88$ ,  $SD = .71$ ;  $M_{boys} = 2.03$ ,  $SD = .70$ ).

On the other hand, no significant differences were found on catastrophizing [ $M_{girls} = 2.32$ ,  $SD = .93$ ;  $M_{boys} = 2.25$ ,  $SD = .80$ ;  $t(525) = .972$ ,  $p = .331$ ].

Table 2.  
Student's  $t$ -test differences between boys and girls for MASC, CERQ and CDI

	Boys ( $n = 215$ )		Girls ( $n = 312$ )		$t$	$p$
	$M$	$SD$	$M$	$SD$		
Social Anxiety (MASC)	1.18	0.60	1.48	0.66	-5.338	.000
Depressive Symptomatology (CDI)	9.19	5.78	12.54	7.56	-5.486	.000
Other-blame (CERQ)	2.03	0.70	1.88	0.71	2.358	.018
Catastrophizing (CERQ)	2.25	0.80	2.32	0.93	-0.972	.331
Rumination (CERQ)	2.59	0.85	3.02	0.87	-5.688	.000
Self-blame (CERQ)	2.35	0.74	2.51	0.86	-2.287	.023

Note: MASC: Multidimensional Anxiety Scale for Children; CERQ: Cognitive Emotion Regulation Questionnaire; CDI: Children's Depression Inventory.

### Correlational analyses

Pearson correlation coefficients were performed to explore the association between social anxiety, depressive symptomatology, other-blame, catastrophizing, rumination and self-blame (Table 3). Significant, positive and very low to moderate correlations were obtained. Results indicated a moderate correlation between social anxiety and depression. Furthermore these two variables were associated with all emotion regulation variables, although other-blame showed very small correlations both with social anxiety ( $r=.09$ ,  $p < .05$ ) and with depression ( $r=.12$ ,  $p < .01$ ). Moreover, correlations between all emotion regulation variables were moderate to high.

Table 3.  
Correlations (two-tailed Pearson  $r$ ) between variables in study ( $N = 527$ )

	1	2	3	4	5	6
1. Social Anxiety (MASC)	–					
2. Depressive Symptomatology (CDI)	.52**	–				
3. Other-blame (CERQ)	.09*	.12**	–			
4. Catastrophizing (CERQ)	.33**	.47**	.48**	–		
5. Rumination (CERQ)	.34**	.38**	.31**	.58**	–	
6. Self-blame (CERQ)	.32**	.50**	.32**	.60**	.64**	–

Note: MASC: The Multidimensional Anxiety Scale for Children; CERQ: Cognitive Emotion Regulation Questionnaire; CDI: Children's Depression Inventory. \*\* $p < .01$ ; \* $p < .05$

### Mediation Analysis

Taken the previous results and our hypothesis, we tested a path model in which we investigated the mediation role of emotion regulation strategies (other-blame, catastrophizing, rumination, self-blame) in the relation between social anxiety and depression.

All the possible paths (direct and indirect paths between predictive, mediators and criterion variables) were not included in the final model (see Figure 1). The paths social anxiety  $\rightarrow$  other-blame [ $b = 0.099$ ;  $SE_b = 0.047$ ;  $Z = 2.112$ ;  $p = 0.035$ ;  $\beta = 0.099$ ]; rumination  $\rightarrow$  depressive symptomatology [ $b = -0.802$ ;  $SE_b = 0.279$ ;  $Z = 2.881$ ;  $p = 0.014$ ;  $\beta = -0.101$ ]; catastrophizing  $\rightarrow$  depressive symptomatology [ $b = 1.304$ ;  $SE_b = 0.117$ ;  $Z = 11.181$ ;  $p = 0.012$ ;  $\beta = -0.173$ ]; and gender  $\rightarrow$  depressive symptomatology [ $b = 1.613$ ;  $SE_b = 0.497$ ;  $Z = 10.423$ ;  $p = 0.016$ ;  $\beta = -0.112$ ] were not statistically significant at .01 level, and by that reason were removed. Since our aim was to test possible mediation effects of cognitive emotion regulation strategies between social anxiety and depression, once one of the path to or from the mediator variable was non-significant (trajectories  $a$  and  $b$ ) we removed the related path (trajectories  $b$  and  $a$ ).

The mediation model (Figure 2) was tested through a fully saturated model (i.e., zero degrees of freedom). Model fit indices are not reported since fully saturated models always produce a perfect fit to the data.

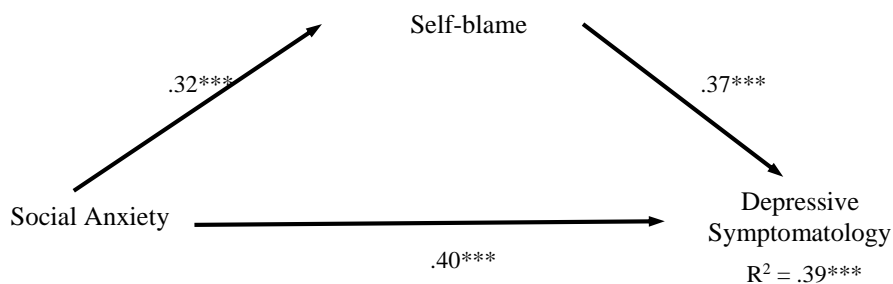


Figure 2. Mediation Model. Standardized path coefficients among variables are presented. \*\*\* $p < .001$

The model accounted for 39% of the explained variance of depressive symptoms. A significant indirect effect of social anxiety on depression through self-blame [ $\beta = .119$  (95% CI = 0.79; 1.62),  $p = .001$ ] was found. However because the standardized direct effect from social anxiety on depression was also statistically significant [ $\beta = .400$  (95% CI = .329; .474),  $p = .001$ ] we can only consider the existence of a partial mediation. The total effect, that represents the sum of the standardized direct effect with the standardized indirect effect was [ $\beta = .519$  (95% CI = 4.762; 6.472),  $p = .001$ ]. Thus, the indirect effect mediated by self-blame consisted of 23% (.119 / .519) of the total effect of social anxiety on depression, suggesting that part of the effect of social anxiety on depressive symptoms was explained by self-blame.

## Discussion

The transition into adolescence is characterized by important biological, cognitive, and psychosocial changes. It is a period when many typical social fears and worries emerge and vulnerability to emotional difficulties increase (Rapee & Spence, 2004). Recent reviews have shown that prevalence of mental health problems rises among adolescents, namely social anxiety and depression (Avenevoli et al. 2015, Burstein, He, Kattan, Albano, Avenevoli, & Merikangas, 2011).

Major depressive disorder (MDD) and social anxiety disorder (SAD) often co-occur in adolescence, with SAD preceding the onset of MDD (e.g., Beesdo et al., 2007). Many authors speculate about the mechanism(s) by which pre-existing SAD may increase the risk of subsequent depression. One possible explanation is that some features of SAD predispose to the development of MDD, namely through cognitive emotion regulation strategies, once difficulties in emotion regulation are proposed to be associated with a wide range of emotional disorders (e.g., Hofmann et al., 2012).

While depression has been consistently associated to dysfunctional emotion regulation strategies (e.g., Garnefski & Kraaij, 2006), and despite the fact that conceptualization models of SAD include difficulties in emotion regulation (Clark & Wells, 1995), only recently has clinical research focused on emotion regulation in SAD, confirming that this condition is associated with the use of particular emotion regulation strategies (e.g., Eastabrook et al., 2014).

Given the scarcity of research linking social anxiety, depression and emotion regulation strategies, especially in adolescence, the aim of our study was to explore the predictive power of social anxiety over depression and a possible mediation effect of maladaptive cognitive emotion regulation strategies in this relationship. Thus, we hypothesized that social anxiety was a predictor of depressive symptoms, and the effect of social anxiety on depressive symptomatology would be mediated by self-blame, rumination, catastrophizing and other-blame.

In accordance with our hypothesis, results showed that depressive symptoms were significantly, positively and highly correlated with social anxiety. These findings are in line with prior research demonstrating that social anxiety has been positively related with depressive symptoms (Stein, et al. 2001, Wittchen et al., 2003).

As expected, and consistent with other studies, correlation analyses showed that other-blame, catastrophizing, rumination and self-blame were significantly associated with depressive symptoms (Garnefski et al., 2001; Garnefski, et al., 2002; Garnefski, et al., 2003) and social anxiety (D'Avanzato et al., 2013; Eastabrook et al., 2014; Gilbert & Miles, 2000). In general, previous studies suggested that by using cognitive emotion regulation strategies such as self-blaming, rumination and catastrophizing adolescents may be more vulnerable to emotional problems (Garnefski et al., 2001).

However, we found that blaming others showed very small correlations both with social anxiety and with depression. Our results seem to be in line with Garnefski and colleagues (2001). On the other hand, the psychometric study of the Cognitive Emotion Regulation Questionnaire, as well as its prospective relationships with symptoms of depression and anxiety showed non correlation between blaming others, anxiety and depressive symptoms, in adults (Garnefski & Kraaij, 2007).



In the prediction of depressive symptoms, social anxiety had a strong effect on depression, either directly or indirectly, accounting for 39% of the variance explained.

From the four cognitive emotion regulation strategies that entered as mediators (self-blame, other-blame, catastrophizing, and rumination), only self-blame was shown to be a significant partial mediator in the relationship between social anxiety and depression, accounting for 23% of the total variance explained. This finding consists of an extension to the existing literature in adolescents and may be related to several factors. In fact, individuals with SAD (or with high social anxiety) are known for interpreting aversive social outcomes, such as criticism or rejection, as due to their own inadequacy, blaming themselves, and not the others, for these shortcomings (Clark & Wells, 1995). This characteristic may be responsible for other-blame not being found as a significant mediator and for self-blame being the only significant mediator. Since there are no other studies that have explored these relationships, we cannot compare our results with those of other studies, recommending the replication of this finding in future studies.

Unlike both studies that found that rumination (Drost et al., 2014) and brooding (Grant et al., 2014) mediated the relation between social anxiety and depression, our study did not confirm such a role for rumination. Drost and collaborators (2014) found that rumination mediated the relation between fear disorders, including SAD, and distress disorders, including MDD, in our study rumination was not found to be a mediator of the relationship between social anxiety and depression. One possible reason for this fact may relate to the different instruments used in both studies. In our study, the Rumination factor from CERQ (Garnefski, et al., 2001) was used. This instrument asks subjects to rate the frequency of certain thoughts when a negative life event occurs. Rumination items refer to thinking about feelings and thoughts associated with the event. An example of an item is “I am preoccupied with what I think and feel about what I have experienced”. On the other hand, Drost and collaborators have used the Leiden Index of Depression Sensitivity (LEIDS-R; Van der Does, 2002), which measures cognitive reactivity to sad mood. An example of an item is “When in a sad mood, I more often think about how my life could have been different”. This instrument, unlike ours, assesses how people react to an already existent sad mood, thereby setting the way to an overlap between social anxiety and depressive symptoms, which can explain the mediation found. Instead, CERQ does not assume that sad mood is present, assessing how people react to a negative event.

A similar situation happened in the Grant and collaborators’ study (2014). In this study, the instrument to measure brooding was the Brooding Subscale from the Ruminative Response Scale (RRS; Nolen-Hoeksema and Morrow 1991; Treynor et al., 2003) that assesses the degree to which an individual focuses on his/hers depressive symptoms and their consequences. An item example is “What am I doing to deserve this?”. Therefore, the same hypothesis put forward in the previous case may also apply.

Another possible explanation for this discrepancy among studies may be related to the samples used. In fact, the sample used in Drost and collaborators’ study was a clinical adult sample, and the sample from Grant and colleagues (2014), although being a community sample, was also an adult sample. Conversely, our sample was a community adolescent sample. It is possible that these rumination processes are not yet as developed in adolescents as they are in adults, particularly in clinical samples.

One final explanatory hypothesis for these different findings may underlie the fact that neither rumination nor catastrophizing were found to be mediators between social anxiety and depression. As assessed by CERQ, catastrophizing refers to thoughts that emphasize the terror of what was experienced. An example is “I continually think how horrible the situation has been”. Thus defined, both catastrophizing and rumination (defined above) could, indeed, take place during post event processing, when individuals with high social anxiety review the social situation in detail (Clark & Wells, 1995), focusing on perceived shortcomings, negative images of oneself or flaws in one’s performance. However, post-event processing seems less likely to include thoughts about thoughts and feelings related to the event (rumination) or thoughts about how horrible the situation was, in general (catastrophizing). Instead it includes a detailed revision of the interaction, dominated by negative perceptions of the self and of social performance (Wells & Clark, 1997), where individuals assume the responsibility for social flaws, in a mainly self-critical process, closer to self-blame, which is also a factor frequently associated with depression



(e.g., Garnefski et al., 2002). In line with this, Seabra e Salvador (2015) have found that self-criticism was a significant predictor of post-event processing in a sample of SAD adult patients. If catastrophizing would be prospective, i.e., related to thinking about thoughts and feelings the individual believes will be associated to a forthcoming event, as it happens in the anticipatory processing so characteristic of SAD (Clark & Wells, 1995), we hypothesize that stronger associations would be found. However, we would still not expect this variable to mediate the effect of social anxiety on depression, given that depressive individuals are more prone to ruminate about past events and not so much catastrophizing about future events.

The finding that self-blame mediated the relation between social anxiety and depression may be related to the impact of self-blame in the decrease of mood and interference with problem solving, self-blame probably resulting from post-event processing where the individuals assume the responsibility for what has happened and criticize themselves for that. Moreover, assuming the blame for past negative events also fits the well-known internal, stable and global attributional style for negative events (Abramson, Seligman, & Teasdale, 1978), typical of depression. Therefore self-blaming in response to social mishaps (as it happens in SAD) may make the adolescents more vulnerable to develop depressive symptoms and, eventually, a full blown major depressive episode.

Beyond this indirect effect, social anxiety did not lose its predictive power, also presenting a substantial direct effect over depression. There are a variety of mechanisms through which social anxiety can have an impact on depression. For instance, social withdrawal characteristic of SAD may lead to have fewer friends, peer rejection, feelings of loneliness, sadness, and low self-worth or self-esteem (Beidel et al., 1999; Beidel et al., 2007; Gazelle & Ladd, 2003), also characteristic of depression. Moreover, SAD patients tend to make negative inferences about the meaning of adverse social events for their future and their self-worth (Stopa & Clark, 2000), which may, in turn, function as a vulnerability to develop MDD (Abramson, Metalsky & Alloy, 1989). Further studies are needed to explore possible mechanisms responsible for this effect.

Regardless of these mechanisms, our results are in line with other studies that considered social anxiety as a risk factor for the development of depression (Beesdo et al., 2007; Dalrymple & Zimmerman, 2011; Kessler et al., 1999).

At the same time, this result also points to the probably high percentage of adolescents with depression that may have a primary SAD diagnosis. SAD patients, particularly adolescents, rarely seek treatment for their condition. In addition, since SAD is a “silent” disorder, they are also rarely referred to therapy primarily for SAD. Instead, other more acute disorder is the reason for seeking treatment or being referred to therapy, namely MDD (Lecrubier, 1998). This is probably one of the reasons why, despite its high prevalence and impact, SAD often goes unrecognized and under-treated (Brown et al., 2001; Dalrymple & Zimmerman, 2007; Lecrubier, 1998; Zimmerman & Chelminski, 2003). This is particularly problematic due to SAD’s chronic course (APA, 2013), and its increased persistence and severity related to its early onset (Kessler, 2003). On the other hand, MDD with SAD as a comorbid disorder is associated with higher levels of severity, chronicity and relapse (e.g., Dalrymple, & Zimmerman, 2007, 2011; DeWit et al., 1999; Lewinsohn et al., 1995; Stein, et al, 2001). This may mean that, if left unrecognized and untreated in prevention and intervention programs for depression, SAD may function as a risk factor for relapse, undermining the benefits of these interventions. In fact, evidence suggests that untreated comorbid SAD may affect the treatment outcome of MDD (DeRubeis et al., 2005; Isometsä, Holma, Holma, Melartin, & Rytsala, 2008).

### **Clinical Implications**

In terms of clinical implications, the results of this study point to several important clinical implications. Since social anxiety was found to be a predictive factor of depression, an important target for preventive intervention of depression may therefore be to prevent or intervene in social anxiety symptoms. This may imply to screen adolescents with depressive symptoms for social anxiety symptoms and either redirect them for a specific program or to include a specific component to address such symptoms in programs primarily aimed at preventing or treating depression.

Secondly, the important role played by self-blame in the relationship between social anxiety and depression points to the importance of including a component to target it in prevention and intervention programs, either addressing depressive symptoms/MDD or addressing social anxiety/SAD. In general, these interventions should aim to reduce the use of maladaptive cognitive emotion regulation strategies, preventing them from turning into long established patterns of dealing with negative emotions, and to develop and improve the use of more adaptive strategies. In line with this suggestion, third wave therapies and interventions, like Acceptance and Commitment Therapy (Hayes, Strosahl, Wilson, 1999), Mindfulness (Kabat-Zinn, 1994) or Compassion Focused Therapy (Gilbert, 2005), could be of use. Acceptance of uncomfortable thoughts, feelings and sensations, conscious attention and letting go of old negative cognitive patterns, and compassionate acceptance of personal flaws or shortcomings may counteract the deleterious effect of self-blame and self-criticism.

Also, since these results were obtained in a considerable young sample (adolescents between 13 and 15 years old), our findings confirm the introduction of prevention programs at an early age.

### **Limitations**

The current study has some limitations that should be mentioned. The research involves a sample of the general population of specific geographical areas of Portugal, being relevant that, in the future, the study should be replicated in broader samples of the community, representative of the Portuguese population, in order to allow generalization of results. In addition, the use of a clinical sample in future studies should also ensure more robust results.

The exclusive use of self-report questionnaires is also a limitation of this study. Using structured interviews and other informers (e.g., parents) should be included in future studies.

Other variables that were not controlled may have influenced subjects' answers, such as social desirability.

The cross-sectional and correlational nature of this study should also be taken into consideration. In this sense, causal relations between variables cannot be established, only interpretations based on theoretical literature. Causal relations between variables should be analysed within a longitudinal design.

Given the aim of our study was to explore the predictive power of social anxiety over depression and a possible mediation effect of maladaptive cognitive emotion regulation strategies in this relationship, adaptive cognitive emotion regulation strategies have not been included. Further studies should include adaptive emotion regulation strategies. Additionally, in order to explore other mechanisms underlying social anxiety and depression, variables such as suppression, acceptance or experiential avoidance should be explored in future studies, relating social anxiety and depression.

**In conclusion**, this study clearly adds further evidence to the existing literature, showing the impact social anxiety may have in the development of depressive symptoms, either directly or indirectly, through self-blame. Subsequently, the use of maladaptive cognitive emotion regulation strategies, in this case, self-blame, can play an important role in the beginning and exacerbation of depressive symptoms. It is therefore reasonable to suggest that social anxiety and depression have a cause-and-effect relationship, at least in some cases.

The results suggest that having a better understanding of shared factors between SAD and MDD may be relevant both in theoretical terms and to develop more effective therapeutic interventions. In this sequence, tailoring interventions to include strategies addressing social anxiety and aimed at improving emotion regulation may have a positive impact on the treatment outcome.

## References

- Abbott, M. J., & Rapee, R. M. (2004). Post-event rumination and negative self-appraisal in social phobia before and after treatment. *Journal of Abnormal Psychology, 113*, 136–144. doi:10.1037/0021-843X.113.1.136
- Abramson, L. Y., Metalsky, G. I., & Alloy, L. B. (1989). Hopelessness depression: A theory-based subtype of depression. *Psychological Review, 96*, 358–372.
- Abramson, L. Y., Seligman, M. E. P., Teasdale, J. D. (1978). Learned helplessness in humans: Critique and reformulation. *Journal of Abnormal Psychology, 87*, 49–74
- American Psychiatric Association. (2013). *Diagnostic and statistical manual of mental disorders* (5th ed.). Washington, DC: Author.
- Arnett, J. J. (1999). Adolescent storm and stress, reconsidered. *American Psychologist, 54*, 317–326. doi:10.1037/0003-066X.54.5.317
- Aune, T., & Stiles, T. C. (2009). The effects of depression and stressful life events on the development and maintenance of syndromal social anxiety: Sex and age differences. *Journal of Clinical Child and Adolescent Psychology, 38*, 501–512. doi: 10.1080/15374410902976304
- Avenevoli, S., Swendsen, J., Jian-Ping, Burstein, & Merikangas (2015). Major Depressive Disorder in the National Comorbidity Survey-Adolescent Supplement: Prevalence, correlates, and treatment. *Journal of the American Academy of Child and Adolescent Psychiatry, 54*, 37–44. doi: [10.1016/j.jaac.2014.10.010](https://doi.org/10.1016/j.jaac.2014.10.010)
- Beesdo, K., Bittner, A., Pine, D. S., Stein, M. B., Hofler, M., Lieb, R., et al. (2007). Incidence of social anxiety disorder and the consistent risk for secondary depression in the first three decades of life. *Archives of General Psychiatry, 64*, 903–912. doi: 10.1001/archpsyc.64.8.903
- Beidel, D. C., Turner, S. M., & Morris, T. L. (1999). Psychopathology of childhood social phobia. *Journal of the American Academy of Child and Adolescent Psychiatry, 38*, 643–650. doi: 10.1097/00004583-199906000-00010
- Beidel, D. C., Turner, S. M., Young, B. J., Ammerman, R. T., Sallee, F. R., & Crosby, L. (2007). Psychopathology of adolescent social phobia. *Journal of Psychopathology and Behavioral Assessment, 29*, 47–54. doi: 10.1007/s10862-006-9021-1
- Belzer, K., Schneier, F. R. (2004). Comorbidity of anxiety and depressive disorders: issues in conceptualization, assessment, and treatment. *Journal of Psychiatric Practice, 10*, 296–306. [PubMed: 15361744]
- Brown, C., Schulberg, H.C., Madonia, M. J., Shear, M. K., & Houk, P. R. (1996). Treatment outcomes for primary care patients with major depression and lifetime anxiety disorders. *American Journal of Psychiatry, 153*, 1293–1300. [PubMed: 11727948]
- Brown, T. A., Campbell, L. A., Lehman, C. L., Grisham, J. R., & Mancill, R. B. (2001). Current and lifetime comorbidity of the DSM-IV anxiety and mood disorders in a large clinical sample. *Journal of Abnormal Psychology, 110*, 585. doi:10.1037/0021-843X.110.4.585
- Brozovich, F., & Heimberg, R. G. (2008). An analysis of post-event processing in social anxiety disorder. *Clinical Psychology Review, 28*, 891. doi: 10.1016/j.cpr.2008.01.002
- Cohen, J., Cohen, P., West, S. G., & Aiken, L. S. (2003). *Applied multiple regression/correlation analysis for the behavioral sciences* (3rd ed.). Hillsdale: Erlbaum
- Chavira, D. A., Stein, M. B., Bailey, K., & Stein, M. T. (2004). Comorbidity of generalized social anxiety disorder and depression in a pediatric primary care sample. *Journal of Affective Disorders, 80*, 163–171. doi:10.1016/S0165-0327(03) 00103-4
- Clark, D. M., & Wells, A. (1995). A cognitive model of social phobia. In R. G. Heimberg, M. Liebowitz, D. A. Hope & F. R. Schneier (Eds.), *Social phobia: Diagnosis, assessment, and treatment* (69–93). New York: Guilford.
- Crawley, S. A., Beidas, R. S., Benjamin, C. L., Martin, E., & Kendall, P. C. (2008). Treating socially phobic youth with CBT: Differential outcomes and treatment considerations. *Behavioural and Cognitive Psychotherapy, 36*, 379–389. doi:10.1017/S1352465808004542.
- D'Avanzato, C., Joorman, J., Siemer, M., & Gotlib, I. H. (2013). Emotion Regulation in Depression and Anxiety: Examining diagnostic specificity and stability of strategy use. *Cognitive Therapy and Research, 37*, 968–980. DOI: 10.1007/s10608-013-9537-0

- Dalrymple, K. L. & Zimmerman, M. (2007). Does comorbid social anxiety disorder impact the clinical presentation of principal major depressive disorder? *Journal of Affective Disorders*, 100, 241–247. doi: [10.1016/j.jad.2006.10.014](https://doi.org/10.1016/j.jad.2006.10.014)
- Dalrymple, K.L. & Zimmerman, M. (2011). Age of onset of social anxiety disorder in depressed outpatients. *Journal of Anxiety Disorders*, 25, 131–137. doi:10.1016/j.janxdis.2010.08.012.
- De Graaf, R., Bijl, R. V., Spijker, J., Beekman, A. T., & Vollebergh, W. A. (2003). Temporal sequencing of lifetime mood disorders in relation to comorbid anxiety and substance use disorders: findings from the Netherlands Mental Health Survey and Incidence Study. *Social Psychiatry and Psychiatric Epidemiology*, 38, 1-11. 10.1007/s00127-003-0597-4
- DeRubeis, R. J., Hollon, S. D., Amsterdam, J. D., Shelton, R. C., Young, P. R., Salomon, R.M., O'Reardon, J. P., Lovett, M. L., Gladis, M. M., Brown, L. L., Gallop, R. (2005). Cognitive therapy vs medications in the treatment of moderate to severe depression. *Archives of General Psychiatry*, 62, 409–416. doi:10.1001/archpsyc.62.4.409
- DeWit, D. J., Ogborne, A., Offord, D. R., & MacDonald, K. (1999). Antecedents of the risk of recovery from DSM-III-R social phobia. *Psychological Medicine*, 29, 569-582. 10.1017/S0033291799008399
- Drost, J., van der Does, W., van Hemert, A. M., Penninx, B. W. J. H., & Spinhoven, P. (2014). [Repetitive negative thinking as a transdiagnostic factor in depression and anxiety: A conceptual replication.](https://doi.org/10.1016/j.brat.2014.06.0041) *Behaviour Research and Therapy*, 63, 177-183. doi: 10.1016/j.brat.2014.06.0041
- Eastabrook, J. M., Flynn, J. J., & Hollenstein, T. (2014). Internalizing symptoms in female adolescents: Associations with emotional awareness and emotional regulation. *Journal of Child and Family Studies*. 23, 487-496. doi: 10.1007/s10826-012-9705-y
- Edwards, S. L., Rapee, R. M., & Franklin, J. (2003). Postevent rumination and recall bias for a social performance event in high and low socially anxious individuals. *Cognitive Therapy and Research*, 27, 603–617. 10.1023/A:1026395526858
- Essau, C., Conradt, J., & Petermann, F. (1999). Frequency and comorbidity of social phobia and social fears in adolescents. *Behaviour Research and Therapy*, 37, 831–843. doi:10.1016/S0005-7967(98)00179-X
- Farmer, A. S. & Kashdan, T. B. (2012). Social anxiety and emotion regulation in daily life: Spillover effects on positive and negative social events. *Cognitive Therapy and Research*, 41, 152-162. doi: [10.1080/16506073.2012.666561](https://doi.org/10.1080/16506073.2012.666561)
- Fergusson, D. M., Horwood, J., Ridder, E. M., & Beautrais, A. L. (2005). Subthreshold depression in adolescence and mental health outcomes in adulthood. *Archives of General Psychiatry*, 62, 66–72. doi:10.1001/archpsyc.62.1.66
- Garnefski, N. & Kraaij, V. (2007). The Cognitive Emotion Regulation Questionnaire: Psychometric features and prospective relationships with depression and anxiety in adults. *European Journal of Psychological Assessment*, 23, 141-149. doi: [10.1027/1015-5759.23.3.141](https://doi.org/10.1027/1015-5759.23.3.141)
- Garnefski, N., & Kraaij, V. (2006). Relationships between cognitive emotion regulation strategies and depressive symptoms: A comparative study of five specific samples. *Personality and Individual Differences*, 40, 1659-1669. doi:10.1016/j.paid.2005.12.009
- Garnefski, N., Boon, S., & Kraaij, V. (2003). Relationships between cognitive strategies of adolescents and depressive symptomatology across different types of life events. *Journal of Youth and Adolescence*, 32, 401–408. 10.1023/A:1025994200559
- Garnefski, N., Kraaij, V., & Spinhoven, P. (2001). Negative life events cognitive emotion regulation and emotional problems. *Personality and Individual Differences*, 30, 1311-1327. doi:10.1016/S0191-8869(00)00113-6
- Garnefski, N., Legerstee, J., Kraaij, V., Van den Kommer, T., & Teerds, J. (2002). Cognitive coping strategies and symptoms of depression and anxiety: a comparison between adolescents and adults. *Journal of Adolescence*, 25, 603–611. doi:10.1006/jado.2002.0507
- Garnefski, N., Rieffe, C., Jellesma, F., Terwogt, M. M., & Kraaij, V. (2007). Cognitive emotion regulation strategies and emotional problems in 9–11-year-old children. *European Child and Adolescent Psychiatry*, 16(1), 1-9. doi:10.1007/s00787-006-0562



- Garnefski, N., Teerds, J., Kraaij, V., Legerstee, J., & Van den Kommer, T. (2004). Cognitive emotion regulation strategies and depressive symptoms: differences between males and females. *Personality and Individual Differences*, 36, 267–276. doi:10.1016/S0191-8869(03)00083-7
- Gazelle, H., Ladd, G. W. (2003). Anxious solitude and peer exclusion: A diathesis-stress model of internalizing trajectories in childhood. *Child Development*, 74, 257–278. doi: 10.1111/1467-8624.00534
- Gilbert, P. & Miles, J. N. V. (2000). Sensitivity to social put-down: its relationship to perceptions of social rank, shame, social anxiety, depression, anger and self-other blame. *Personality and Individual Differences*, 757-774
- Gilbert, P. (2005). *Compassion: Conceptualizations, research and use in psychotherapy*. London: Routledge.
- Goldin, P. R., Ziv, M., Jazaieri, H., Werner, K., Kraemer, H., Heimberg, R. G., & Gross, J. J. (2012). Cognitive reappraisal self-efficacy mediates the effects of individual cognitive-behavioral therapy for social anxiety disorder. *Journal of Consulting and Clinical Psychology*, 80, 1034–1040. doi: 10.1037/a0028555
- Grant, D. M., Judah, M. R., Mills, A. C., Lechner, W. V., Davidson, C. L., & Wingate, L. R. (2014). Rumination and excessive reassurance seeking: Mediators of the relationship between social anxiety and depression? *Journal of Psychopathology and Behavioral Assessment*, 36, 465-474. doi: 10.1007/s10862-013-9399-5
- Gross, J. J., & John, O. P. (2003). Individual differences in two emotion regulation processes: Implications for affect, relationships, and well-being. *Journal of Personality and Social Psychology*, 85, 348–362, doi: 10.1037/0022-3514.85.2.348.
- Hayes, S. C., Strosahl, K. D., & Wilson, K. G. (1999). *Acceptance and commitment therapy: an experiential approach to behaviour change*. New York: Guilford Press.
- Helbig-Lang, S., Silke, R., Winfried, R., & Lincoln, T. M. (2015). The strategy does not matter: Effects of acceptance, reappraisal, and distraction on the course of anticipatory anxiety in social anxiety disorder. *Psychology and Psychotherapy*, Jan 13. doi: 10.1111/papt.12053
- Hilt, L. M., McLaughlin, K. A., & Nolen-Hoeksema, S. (2010). Examination of the response styles theory in a community sample of young adolescents. *Journal of Abnormal Child Psychology*, 38(4), 545–556. doi: 10.1007/s10802-009-9384-3
- Hofmann, S. G. (2010). Advances in the research of social anxiety and its disorder (Special section). *Anxiety, Stress, & Coping*, 23, 239–242. doi: 10.1080/10615801003612014
- Hofmann, S. G., Sawyer, A. T., Fang, A., & Asnaani, A. (2012). Emotion dysregulation model of mood and anxiety disorders. *Depression and Anxiety*, 29, 409–416. doi: 10.1002/da.21888
- Isometsä, E. T., Holma, K. M., Holma, I. A., Melartin, T. K., Rytala, H. J., (2008). Long-term outcome of major depressive disorder in psychiatric patients is variable. *Journal of Clinical Psychiatry*, 6, 196–205. doi:10.1016/j.jad.2007.12.015
- Jazaieri, H. Morrison, A. S., Goldin, P. R., & Goss, J. J. (2015). The role of emotion and emotion regulation in Social Anxiety Disorder. *Current Psychiatry Reports*, 17, 522-531. doi: 10.1007/s11920-014-0531-3
- Jose, P.E., Wilkins, H., & Spindelaw, J. S: (2012). Does social anxiety predict rumination and co-rumination among adolescents? *Journal of Clinical Child and Adolescent Psychology*, 41, 86-91. doi: 10.1080/15374416.2012.632346
- Kabat-Zinn, J. (1994). *Wherever you go, there you are: mindfulness meditation in everyday life*. New York: Hyperion
- Kashdan, T. B., & Breen, W. E. (2008). Social anxiety and positive emotions: a prospective examination of a self-regulatory model with tendencies to suppress or express emotions as a moderating variable. *Behavior Therapy*, 39, 1–12. doi: 10.1016/j.beth.2007.02.003
- Kashdan, T. B., & Roberts, J. E. (2007). Social anxiety, depressive symptoms, and post-event rumination: Affective consequences and social contextual influences. *Journal of Anxiety Disorders*, 21, 285–301. doi: 10.1016/j.janxdis.2006.05
- Kashdan, T. B., Farmer, A. S., Adams, L. M., Ferrisizidis, P., McKnight, P. E., & Nezlek, J. B. (2013). Distinguishing healthy adults from people with social anxiety disorder: evidence for

- the value of experiential avoidance and positive emotions in everyday social interactions. *Journal of Abnormal Psychology*, 122, 645–655. doi: 10.1037/a0032733
- Kline, R. B. (2005). *Principle and practice of structural equation modeling*. New York: Guilford
- Kessler, R. C. (2003). The impairments caused by social phobia in the general population: Implications for intervention. *Acta Psychiatrica Scandinavica*, Suppl, 108, 19–27. doi: 10.1034/j.1600-0447.108.s417.2.x
- Kessler, R. C., Berglund, P., Demler, O., Jin, R., Merikangas, K. R., & Walters, E. E. (2005). Lifetime prevalence and age-of-onset distributions of DSM-IV disorders in the National Comorbidity Survey Replication. *Archives of General Psychiatry*, 62, 593–602. <http://dx.doi.org/10.1001/archpsyc.62.6.593>
- Kessler, R. C., Chiu, W. T., Demler, O., Merikangas, K. R., & Walters, E. E. (2005). Prevalence, severity, and comorbidity of 12-month DSM-IV disorders in the National Comorbidity Survey Replication. *Archives of General Psychiatry*, 62, 617–627. doi: [10.1001/archpsyc.62.6.617](http://dx.doi.org/10.1001/archpsyc.62.6.617)
- Kessler, R. C., Stang, P., Wittchen, H.-U., Stein, M., & Walters, E. E. (1999). Lifetime comorbidities between social phobia and mood disorders in the US National Comorbidity Survey. *Psychological Medicine*, 29, 555–567. doi:10.1017/S0033291799008375.
- Kovacs, M. (1985). The children's depression inventory (CDI). *Psychopharmacology Bulletin*, 21, 995–998.
- Larson, R., & Ham, M. (1993). Stress and “storm and stress” in early adolescence: The relationship of negative events with dysphoric affect. *Developmental Psychology*, 29, 130–140. doi:10.1037/0012-1649.29.1.130.
- Lecrubier, Y. (1998). Comorbidity in social anxiety disorder: Impact on disease burden and management. *Journal Clinical Psychiatry*, 59 (Suppl 17), 33–38.
- Lewinsohn, P. M., Rohde, P., & Seeley, J. R. (1995). Adolescent psychopathology: III. The clinical consequences of comorbidity. *Journal of the American Academy of Child & Adolescent Psychiatry*, 34, 510–519. <http://dx.doi.org/10.1097/00004583-199504000-00018>
- March, J. S., Parker, J. D., Sullivan, K., Stallings, P., & Conners, C. K. (1997). The Multidimensional Anxiety Scale for Children (MASC): Factor structure, reliability, and validity. *Journal of the American Academy of Child and Adolescent Psychiatry*, 36, 554–565. doi:10.1097=00004583-199704000-00019
- Martin, R. C. & Dahlen, E. R. (2005). Cognitive emotion regulation in the prediction of depression, anxiety, and anger. *Personality and Individual Differences*, 39, 1249–1260. doi:10.1016/j.paid.2005.06.004
- Marujo, H. (1994). *Síndromas depressivos na infância e na adolescência* [Depressive syndromes in childhood and adolescence]. Unpublished doctoral dissertation. Lisbon University, Lisbon.
- Matos, A. P., & Serra, A. R. (2009). *Análise de algumas propriedades psicométricas do Questionário de Regulação Cognitiva da Emoção (CERQ), em adolescentes Portugueses* [Analysis of some psychometric properties of the Cognitive Regulation Questionnaire (CERQ) in Portuguese adolescents, unpublished manuscript].
- McLaughlin, K. A., Hatzenbuehler, M. L., Mennin, D. S., & Nolen-Hoeksema, S. (2011). Emotion dysregulation and adolescent psychopathology: A prospective study. *Behavior Research and Therapy*, 49, 544–554. doi: 10.1016/j.brat.2011.06.003
- Moscovitch, D. A., Gavric, D. L., Senn, J. M., Santesso, D. L., Miskovic, V., Schmidt, L. A., & Antony, M. M. (2012). Changes in judgment biases and use of emotion regulation strategies during cognitive-behavioral therapy for social anxiety disorder: distinguishing treatment responders from nonresponders. *Cognitive Therapy and Research*, 36, 261–271. doi: [10.1007/s10608-011-9371-1](http://dx.doi.org/10.1007/s10608-011-9371-1)
- Nolen-Hoeksema, S., & Morrow, J. (1991). A prospective study of depression and posttraumatic stress symptoms after a natural disaster: The 1989 Loma Prieta Earthquake. *Journal of Personality and Social Psychology*, 61, 115–121. doi:10.1037/0022-3514.61.1.115.
- Nolen-Hoeksema, S., Wisco, B. E., Lyubomirsky, S. (2008). Rethinking rumination. *Perspectives on Psychological Science*, 3(5), 400–424. doi:10.1111/j.1745-6924.2008.00088.x
- O'Toole, M. S., Jensen, M. B., Fentz, H. N., Zachariae, R., & Hougaard, E. (2014). Emotion differentiation and emotion regulation in high and low socially anxious individuals: An



- experience-sampling study*. *Cognitive Therapy and Research*, 38, 428-438. doi: 10.1007/s10608-014-9611-2
- Olatunji, B. O., Naragon-Gainey, K., Wolitzky-Taylor, K. G. (2013). Specificity of rumination in anxiety and depression: A multimodal meta-analysis. *Clinical Psychology: Science and Practice*, 20(3), 225-257. doi: 10.1111/cpsp.12037
- Ongen, D. E. (2010). Cognitive emotion regulation in the prediction of depression and submissive behavior: Gender and grade level differences in Turkish adolescents. *Procedia – Social and Behavioral Sciences*, 9, 1516-1523. doi:10.1016/j.sbspro.2010.12.358
- Parker, J. G., & Asher, S. R. (1987). Peer relations and later personal adjustment: Are low-accepted children at risk? *Psychological Bulletin*, 102, 357-389.
- Pestana, M. H., & Gageiro, J. N. (2005). *Análise de dados para ciências sociais – A complementaridade do SPSS*. [Data analysis for social sciences – The complementarity of SPSS]. Lisbon: Silabo.
- Petersen A.C., & Spiga, R. (1982). Adolescence and stress. In Goldberger, L. and Breznitz, S. (eds), *Handbook of Stress: Theoretical and Clinical Aspects*. The Free Press, New York.
- Petersen, A., Compas, B., Brooks-Gunn, J., Stemmler, M., Ey, S., & Grant, K. (1993). Depression in Adolescence. *American Psychologist*, 48, (2), 155-168.
- Ranta, K., Kaltiala-Heino, R., Rantanen, P., & Marttunen, M. (2009). Social phobia in Finnish general adolescent population: Prevalence, comorbidity, individual and family correlates, and service use. *Depression and Anxiety*, 26, 528–536. doi:10.1002/da.20422
- Rubin, K. H., Coplan, R. J., Bowker, J. C. (2009) Social withdrawal in childhood. *Annu Rev Psychol* 60(1):141–171. doi: 10.1146/annurev.psych.60.110707.163642
- Ruscio, A. M., Brown, T. A., Chiu, W. T., Sareen, J., Stein, M. B., & Kessler, R. C. (2008). Social fears and social phobia in the USA: results from the National Comorbidity Survey Replication. *Psychological Medicine*, 38, 15–28. doi.org/10.1017/S0033291707001699
- Salvador, M. C. (2009). “*Ser eu Próprio entre os Outros*”: um novo protocolo de intervenção para adolescentes com fobia social generalizada [“To be Myself among the Others”: A new intervention program for adolescents with generalized social phobia]. Unpublished Doctoral Dissertation. University of Coimbra, Coimbra, Portugal.
- Salvador, M. C., Matos, A. P. Oliveira, S. A., March, J. S., Arnarson, E. O., & Craighead, E. W. (2015). *The Multidimensional Anxiety Scale for Children (MASC): Psychometric Properties and Confirmatory Factor Analysis in a Sample of Portuguese Adolescents*. Manuscript submitted for publication.
- Seabra, D. & Salvador, M. C. (2015). *The role of self-criticism and shame in post-event processing in a clinical SAD sample*. Manuscript in preparation.
- Sheriff, R. J. S., McGorry, P. D., Cotton, S., & Yung, A. R. (2015). A qualitative study of the prodrome to the first-episode major depressive disorder in adolescents. *Psychopathology*, 48, 153–161. doi: 10.1159/000373894
- Silk, J. S., Steinberg, L., & Morris, A. S. (2003). Adolescents’ emotion regulation in daily life: Links to depressive symptoms and problem behavior. *Child Development*, 74, 1869–1880. doi: 10.1046/j.1467-8624.2003.00643
- Sroufe, L. A., & Rutter, M. (1984). The domain of developmental psychopathology. *Child Development*, 55, 17-29.
- Stein, M. B., Fuetsch, M., Muller, N., Hofler, M., Lieb, R., & Wittchen, H. U. (2001). Social anxiety disorder and the risk of depression: A prospective community study of adolescents and young adults. *Archives of General Psychiatry*, 58, 251-256. doi:10.1001/archpsyc.58.3.251.
- Stopa, L., Clark, D. M. (2000). Social phobia and interpretation of social events. *Behavior Research and Therapy*. 38:273–283. doi:10.1016/S0005-7967(99)00043-1
- Tabachnick, B. G., & Fidell, L. S. (2007). *Using Multivariate Statistics* (5th ed.). Boston, MA: Pearson Education
- Thompson, R.A. (1994). Emotional regulation: A theme in search for definition. *Monographs of the Society for Research in Child Development*, 59, 25–52. doi: 10.1111/j.1540-5834.1994.tb01276.x

- Tillfords, M. & Van Zalk, N. (2015). Easier to accelerate than to slow down: contributions of developmental neurobiology for the understanding of adolescent social anxiety. In K. Ranta, A. La Greca, L.-J. Garcia Lopez, & M. Mauttunen, *Social anxiety and phobia in adolescents: Development, manifestation and intervention strategies*. Cham, Switzerland: Springer International Publishing (p. 121-150).
- Treynor, W., Gonzalez, R., & Nolen-Hoeksema, S. (2003). Rumination reconsidered: a psychometric analysis. *Cognitive Therapy and Research*, 27, 247–259. doi:10.1023/A:1023910315561.
- Turk, C. L., Heimberg, R. G., Luterek, J. A., Mennin, D. S., & Fresco, D. M. (2005). Emotion dysregulation in generalized anxiety disorder: A comparison with social anxiety disorder. *Cognitive Therapy and Research*, 29, 89-106. doi: 10.1007/s10608-005-1651-1
- Van der Does, W. (2002). Cognitive reactivity to sad mood: structure and validity of a new measure. *Behaviour Research and Therapy*, 40, 105-120. doi: 10.1016/S0005-7967(00)00111-X
- Vassilopoulos, S. (2005). Anticipatory processing plays a role in maintaining social anxiety. *Anxiety, Stress and Coping*, 18(4), 321–332. doi: 10.1080/10615800500258149
- Viana, A. G., Rabian, B., & Beidel, D. C. (2008). Self-report measures in the study of comorbidity in children and adolescents with social phobia: Research and clinical utility. *Journal of Anxiety Disorders*, 22, 781–792. doi:10.1016/j.janxdis.2007.08.005
- Wells, A., & Clark, D. M. (1997). Social phobia: A cognitive approach. In G. C. Davey (Ed.), *Phobias: A handbook of theory, research and treatment* (3-26). Chichester: Wiley.
- Wittchen, H.-U., Stein, M. B., & Kessler, R. C. (1999). Social fears and social phobia in a community sample of adolescents and young adults: Prevalence, risk factors, and comorbidity. *Psychological Medicine*, 29, 309–323. doi:10.1017/S003329 1798008174
- Zimmerman, M., & Chelminski, I. (2003). Clinician recognition of anxiety disorders in depressed outpatients. *Journal of Psychiatric Research*, 37, 325–333. [doi:10.1016/S0022-3956\(03\)00020-7](https://doi.org/10.1016/S0022-3956(03)00020-7)

# Influence of Maternal Level of Education on Child Survival: A Case Study of Kinango Division of Coast Province, Kenya

*Joyce Muthoni Njagi, University of Nairobi, Kenya*

## Abstract

The central concern of this study was to explore how the level of maternal education influences under five child survivals. Statistics across the world including the Kenya Demographic Health Survey (2003) show a strong link between the mother's level of education and child survival. The KDHS (2003) shows that higher levels of mother's education attainment are generally associated with lower mortality rates, since education exposes mothers to information about better nutrition, use of contraceptives to space births and knowledge about childhood illnesses and treatment.

This was a case study of Kinango Division which is situated in the Coast Province of Kenya. The overall objective of the study was to explore how the level of maternal education influences under-five child survival while the specific objectives were; to find out the general education status of women in the division, to identify the main conditions that lead to under-five mortality in the division, to explore the extent to which the level of maternal education influences under-five child survival in the district, and recommend evidence-based interventions for policy planners and other development planners in the division.

The study adopted an exploratory survey design with the aim of collecting both quantitative and qualitative data from Kinango Division. The sampling frame was obtained from the Kinango District Demographic Health Survey conducted in 2005 by the Kinango District Health Management team based in Kinango hospital, in collaboration with UNICEF.

The 30 by 7 sampling technique, which was developed by the World Health Organization (WHO) in 1978, was applied in the study. Kinango division has 6 locations. The Area Map was used as the sampling frame from which 4 locations were selected randomly from the six locations within Kinango division. These locations formed the clusters. 16 households per cluster were selected to make a total of 64 households selected to participate in the study. Women of 15-49 years of age within selected households were studied. The age group of 15-49 years covered Women of Reproductive Age.<sup>3</sup> The rationale of using the probability sampling technique was to ensure that each study element had a non-zero chance of being included in the sample.

To enrich the study, a triangulation approach was adopted, i.e. in-depth interviews with women of 15-49 years of age, key-informant interviews with the MOH of Kinango District Hospital, the Lead Public Health Worker stationed in Kinango District hospital and a Focus Group Discussion comprising of 8 women of 15-49 years of age from the selected locations, were conducted.

From the results and discussion of the study findings, it can be concluded that the low levels of education of mothers in Kinango Division has contributed negatively to child health care and well-being which has, as a result, triggered elevated under-five deaths in the division.

---

<sup>3</sup>WHO, UNICEF, UNFPA (2004). *Maternal Mortality in 2000*. Department of Reproductive Health and Research World Health Organization, Geneva 2004

E-mail of the corresponding author: joycenjagi7@gmail.com

Some of the recommendations were drawn together with the respondents during the data collection process because they were representing the Kinango division community members who experienced the realities discussed in the study findings. It is my hope that with the implementation of these recommendations by the Policy Planners and Development Partners, there will be a remarkable improvement in child health care, and in the general standards of living and overall well-being of the inhabitants of Kinango, for the current generation and the generations to come.

“If we can get it right for children - if we can deliver on our commitments and enable every child to enjoy the right to a childhood, to health, education, equality, and protection – we can get it right for people of all ages. I believe we can”.

(Kofi Annan- The State of the World’s Children 2006)

**Keywords:** child mortality, education and training, maternal level of education, under-five child survival

## Introduction

Childhood means more than just the time between birth and the attainment of adulthood. It refers to the state and condition of a child’s life: to the quality of those years (UNICEF, 2005). Childhood is the foundation of the world’s hope for a better future. The survival of the child in the first five years of life depends on a number of biological and socio-economic factors. Due to their low immunity; children are quite susceptible to infections such as malaria, preventable diseases like measles, waterborne diseases and acute respiratory infections (ARI) among others. This contributes significantly to child mortality. Child mortality is one of the major concerns facing many developing countries today with the extremes being registered in Sub-Sahara Africa.

In low-income countries, 1 child in every 9 dies before their fifth birthday, compared with 1 child in every 143 in high-income countries (UNDP, 2003). Global estimates indicate that of the 10.5 million deaths of children under five annually, almost half of them occur in Sub-Saharan Africa, where progress has slowed due to lack of preventive care and treatment, fragile health systems, and socio-economic stagnation due to conflicts, instability and HIV/ AIDS (WHO, 2003).

According to KDHS (2003), Coast Province ranked fourth out of the eight provinces in Kenya, in under-five mortality with a rate of 116 deaths for every 1000 live births. On the other hand, the survey showed that the number of deaths for every 1000 live births amongst under-fives against the background characteristic of maternal education as follows:

**Table 1:<sup>4</sup> Early childhood mortality rates by socioeconomic characteristics.****Under-five mortality rates for the ten-year period preceding the survey, by background characteristics, Kenya 2003**

<b>Background Characteristic</b>	<b>Under-five Mortality (5q0)</b>
<b>Mother's education</b>	
No education	127
Primary incomplete	145
Primary complete	98
Secondary +	63

**Source:** Kenya Demographic Health Survey (2003).

According to these rates, the mother's level of education is strongly linked to child survival. Higher levels of education attainment are generally associated with lower mortality rates, since education exposes mothers to information about better nutrition, use of contraceptives to space births and knowledge about childhood illnesses and treatment. Larger differences exist between the mortality of children of women who have attained secondary education and above and those with primary level education or less. Findings documented in the KDHS (2003) show that there still exists great marginalization of girls in terms of enrolment in basic schooling and general literacy levels. The data shows that illiteracy levels amongst females are almost twice as much (21%) as that of males (12%).

According to Chege and Sifuna (2006: 43), Kwale District (from which Kinango District was carved out in 2007) was among the districts that fell into the bottom of educational attainment in school enrolment and education for girls according to a CBS report (1999). In 1987, the girls' participation rate in formal education in the district was 42%. This low participation rate of girls in these districts, has been explained to be attributed to cultural factors, especially early marriages (GOK and UNICEF, 1992). Whereas some progress has been achieved in the last two decades with regard to boys' school attendance, girl's education continues to lag behind.

Regions where women are educationally advanced tend to be leaders in Economic Development, of which one key indicator is low levels of child mortality rates. However, not so much is said about the corrective measures to be taken to assist regions with low girls' enrollments to improve (Chege and Sifuna, 2006: 43). Emphasis is instead placed on why there are disparities between districts. This has increasingly led to high illiteracy levels in these regions, which have a direct relationship with increased child mortality. Jeffries (1967:13); Chege and Sifuna (2006) rightly observes that the illiterate person is a woman whose baby is dying of some malady, which the poster on the wall tells how to prevent or cure.

The justification for enrolling girls in formal education with the aim of achieving a minimum of basic primary education has been underscored by empirical research showing that the inverse relationship between mother's schooling and child mortality exceeds controls for other socio-economic variables including husband's education and occupation<sup>5</sup>. Kabeer (2001) provides that

<sup>4</sup> Central Bureau of Statistics (CBS) [Kenya], Ministry of Health (MOH) [Kenya], and ORC Macro. 2004. *Kenya Demographic Health Survey 2003*. Calverton, Maryland: CBS, MOH and ORC Macro.

<sup>5</sup> Kabeer, N. (2001), *Gender Equality and Human Development: The instrumental Rationale. UNDP Human Development Report 2005*.



studies done by Hobcraft et al. (1984); Mensch et al. (1985) suggest that even a small amount of education was associated with improved chances of child survival and the gains increased with increasing the level of maternal education. The maternal education effect remained strong even when child spacing had been factored into the equation.

Kinango Division is one of the divisions that constitute Kinango District of the Coast Province of Kenya which is located in the south-eastern corner of Kenya. Kinango district was carved away from Kwale district in 2007. It lies between Latitudes 3° 31' and 4° 41' South and Longitudes 38° 31' and 39° 31' East. It is bordered by Kwale District in the south, Taita Taveta District in the West, Kilifi District in the North, Mombasa District and the Indian Ocean in the East<sup>6</sup>. The practice of early marriage is prevalent in the area, where girls get married at a very tender age, as early as 12 years of age. As a result, most of the girls in the area either do not attend any form of formal education, drop-out before completing primary school, do not transit to secondary school, and those who transit fail to complete secondary school education, or the few who complete secondary school education fail to attend any form of vocational or tertiary education and learning. This has contributed to high fertility rates in the area characterized by low birth spacing and high prevalence of otherwise preventable and curable diseases which have resulted in high under-five child mortality which would otherwise be reduced with higher levels of maternal education.

## **Literature review**

### *Under-five mortality*

Globally, child deaths have dropped rapidly in the past 25 years, but progress everywhere slowed in the 1990's. The under five mortality rate (U5MR) is widely recognized as an important indicator of development and the sustainability of it. It is also the broadest, most widely-used, hence most inclusive measure of child survival. According to the State of the World's Children (UNICEF, 2005), Children are half as likely to die before age five today as they were 40 years ago. At the start of the 1960s, nearly one in five children died before they were five years old. In 2002, 7 of every 1,000 children in industrialized countries died before they were five. At the other extreme, in sub-Saharan Africa, 174 of every 1,000 children died before celebrating their fifth birthday. In South Asia, 97 of 1,000 children died before they were five. In 2004, an estimated 10.5 million children died before they reached age five, most of them from preventable diseases (UNICEF, 2005). In low-income countries, 1 child in every 9 children dies before its fifth birthday, compared with 1 out of 143 in high-income countries (UNDP, 2003).

The under-five mortality rates in most of the Sub-Saharan countries appear to be less affected by household wealth than in other developing regions. This is in part explained by the high levels of absolute poverty still prevailing in these countries, which are translated into the lack of adequate and essential services at the household level, and lack of health infrastructure and basic resources and lack of basic education among household members which is crucial for informed decision making by care-givers in relation to child health care and well-being.

The statistics from the Demographic and Health Surveys and the Multiple Indicator Cluster Surveys, clearly show that children living in the poorest 20 per cent of households in the world are significantly more likely to die during childhood than those living in the richest 20 per cent of the world population (UNICEF, 2005). Child mortality is closely linked to poverty

According to the Kenya Demographic and Health Survey (2014), the infant mortality rate stood at 39 deaths per 1,000 live births. The rates observed in this survey show a decline in levels of

---

<sup>6</sup> Kwale District PRSP (2004). *Consultation Report for the period 2001-2004*. Ministry of Finance and Planning. Government printers.

childhood deaths compared with the rates observed in the 2008-09, 2003, and 1998 KDHS surveys. Additionally, a report by the Kenya Institute for Public Policy Research and Analysis (2013) showed that birth spacing of at least two years has dramatic impacts on child health and well-being. Children born less than two years after a previous birth are more than twice likely to die before age five compared to children born three years after a previous birth.

#### Causes of under 5 mortality

The World Health Organization (WHO) affirms that poor neonatal conditions are the single most prominent cause of young deaths, followed by infectious and parasitic diseases, particularly in developing countries. Acute respiratory infections and diarrhoea together are at the root of approximately one third of child deaths. Measles accounts for around 5 per cent of child deaths although significant progress has been made in reducing deaths caused by the disease (UNICEF, 2004).

#### Malaria infections

Malaria continues to be the number one killer disease. Malaria alone kills an African child every 30 seconds, and remains one of the most significant threats to the health of pregnant women and their newborn (UNICEF, 2004). The death toll from malaria remains disgracefully high - with more than 3000 African children dying daily. Malaria affects 20 million Kenyans annually and the cumulative human suffering and economic loss caused by malaria is immense. It is estimated that annually, 26,000 children under five years of age (72 per day) die from the direct consequence of malaria infection and pregnant women suffering from severe anemia have a high likelihood of delivering infants with low birth weight (UNICEF, 2004). Inaccessibility to effective anti-malarial drugs has been blamed for this phenomenon. The highly effective insecticide-treated bed nets protect only a small proportion of the children at risk of malaria (UNICEF 2004).

#### HIV/AIDS

The UNICEF (2005) report states that, HIV/AIDS is responsible for 8 per cent of all under-five deaths in the Sub-Saharan region, more than double the global average. Given the high numbers of children orphaned by the epidemic and only modest inroads achieved in countering malaria, which accounts for more child deaths than HIV/AIDS, the threats facing young children's chances of survival are as grave as ever.

#### High levels of malnutrition

Malnutrition is a major issue affecting many children; it contributes to more than half of all child deaths worldwide. The KDHS (2003) shows that, 31% of Kenyan children are stunted with 11% on the extreme in relation to stunting. Stunting increased rapidly with age, peaking at 43% among children in their 2nd year of life and remaining at 29-36% among older children. As far as wasting is concerned, 6% of Kenyan children are said to be wasted with 1% being severely wasted. The survey further points out that wasting levels are higher for children aged between 10-23 months, which is the recommended weaning period. The survey also indicates that one in every five of Kenyan children is underweight, with 4% being classified as severely underweight.

#### *Education and training*

Education and training enhances women and men's attainment of overall social economic advancement, improving of their literacy levels and enhancement of their earning capacity and lowers their incidence of poverty and its consequences. Investing in education greatly contributes

to overall economic and social development through higher labor productivity, improved nutritional status, and enhanced partnerships in national development.<sup>7</sup>

### Formal education and training

Four broad categories constitute formal education. These include early childhood education and development (ECED), primary education, secondary education and tertiary education. The Kenya country gender profile of 2007 by the African development bank and African development fund provides the following findings on the four broad categories of formal education:

#### ECED

Between 2000 and 2005 enrolment of girls in ECED increased from 13.6 % to 56.2 % and is now almost equal to the enrolment of boys.

#### Primary education

The government introduced free primary education (FPE) in January 2003, which raised the national gross enrolment rate (GER) from 88.2 percent in 2002 to 117.0 (119.1% for boys and 115% for girls) in 2005/6 up from 104.5 percent (108.3% for boys and 102.1 for girls) in 2004.

#### Secondary education

Gender gaps in secondary education increase by comparison to the primary level. The Gross Enrolment Rate (GER) of boys at 42.2% against 37.7% for girls suggests that boys stay in secondary school longer. While the completion rates of boys are slightly higher than that of girls at 88.3% they have declined from 95% in 2003 thus narrowing the gender gap. The reasons for higher dropout rates for girls are largely connected to the high cost of schooling coupled with poverty, unfriendly school environments for girls and socio-cultural factors. Thirty percent of pupils drop out of secondary school because the unit cost of attending is five times higher than that of primary school. Girls will be withdrawn first when finances do not suffice.

#### Tertiary education

Enrolment in public universities is characterized by wide gender disparities in favor of males. In 2004, female students made up only 36.2% of the total enrolment. Further, female enrolment in technical and science degree courses is very low. For example, at the University of Nairobi, for the academic years 2002/2003 to 2004/2005, females constituted only 16.1 percent of those enrolled in the Bachelor of Architecture and Bachelor of Computer Science degree programmes respectively.

#### Adult literacy

According to the 1999 Population Census Report, the number of illiterate Kenyans stood at 4.2 million, with 61.1% being women. A Multi-Indicator Cluster Survey in 2000 showed that out of women in the age group 15-24 years, 80.7% were functionally literate compared to 79.8% of men. In 2005/6 11.6 % of men and 22.3% of women considered themselves illiterate. In 2003, 90.2% of men aged 15-24 were literate compared to 85.7% of women. In the case of those over 35 years, 81.8% of males were literate compared to 61% of females. The level of those without education in 2004 stood at 21.6% for females and 13.8% for men. Enrolment rates for women have,

---

<sup>7</sup> Central Bureau of Statistics (CBS) [Kenya], Ministry of Health (MOH) [Kenya], and ORC Macro .2004. *Kenya and Demographic Health Survey 2003*. Calverton, Maryland: CBS, MOH and ORC Macro.

however, remained above 70% of the total enrolment. It should be noted that women constitute the majority (58%) of illiterate adult Kenyans<sup>8</sup>.

The Kenya National Adult Literacy Survey conducted throughout the country between June 8 to August 8, 2006 by the Kenya National Bureau of Statistics (KNBS) and the Department of Adult Education (DAE) reported that there were worrying wide disparities in literacy levels in terms of sex. Based on the performance of the tests, Males had higher literacy rates of 64.2 per cent compared to females who had literacy rates of 58.9%. The low female literacy levels translate to poor health care of their children and general well-being of their households, thus increasing the incidence of under-five deaths (KDHS, 2003).

Though mass illiteracy is perceived as an obstacle to attaining ambitious goals of development, the focus on education has mainly shifted to elementary education for children since the declaration of Millennium Development Goals in 2000, and ignoring the illiterate adult population, the majority of who are women. The CONFINTEA V, the Fifth International Conference on Adult Education that was held at Hamburg in 1997, was an important landmark in the re-assertion of faith in adult literacy. It raised concerns for the provision of learning opportunities for all, including those who are excluded and the unreached, the majority of whom are women<sup>9</sup>.

#### Maternal level of education and under-five child survival

In her PhD thesis on Education for Life - Mothers' Schooling and Children's Survival in Eastern Uganda, Katahoire (1998) observed that women's subjective experiences with schooling were expressed in terms of their social roles and responsibilities as wives, mothers, and responsible members of their society. She further provides that her focus on women's experiences with schooling brought her directly into the social and micro-political spheres of family and community where women's schooled identity was brought to bear on social roles and relations. Her study also brought to light emotions associated with the different identities of schooled and unschooled and how they manifested themselves in social practice. This emphasized the importance of understanding women's experience with schooling not only as social but also as embodied, manifesting itself in bodily agency and self-perceptions. This approach brought into focus some less visible but nevertheless important motivations for actions.

The benefits of acquiring basic education amongst girls in relation to child health care and well-being including possible subsequent morbidity and mortality of the children cannot therefore be underrated. This is because women are the main care-givers of their children given their natural child-birth and breastfeeding roles and also the domestic social roles bestowed on them by the patriarchal systems in most parts of the world. For example, with regard to health and nutrition, it is common knowledge that infants and children of women with basic levels of education are likely to have better health and nutrition. This is because, the exposure to increased levels of education increases self-regulation and motivation of the mother to seek appropriate Healthcare and Nutrition for her household (Katahoire, 1998). This as a result minimizes child mortality. In addition, the success of immunization programs is as a result of increased literacy levels among rural populations especially women (Chege and Sifuna, 2006: 134).

---

<sup>8</sup> African development bank and African development fund (2007). *Kenya country gender profile*. Human Development Department.

<sup>9</sup> Asian-South Pacific Bureau of Adult Education (ASPBAE) and International Council of Adult Education (2001) *Emerging trends in adult literacy policies and practice in Africa and Asia, NGO perspectives*

### *Fertility rates*

There is a strong and broad-based relationship between women's education and their fertility rates whereby educated mothers have lower fertility rates, which are highly correlated with positive impact on maternal and child health (Chege and Sifuna, 2006: 134). Declines in fertility rates, are observable from mothers' primary education level in much of the world. In general, the relationship is stronger in the case of mother's education than the father's. In addition, education increases the chances of employment and employment becomes another variable which appears to be associated with lower fertility rates in different parts of the world (Kabeer, 2001). Kabeer (2001) provides that studies done by Hobcraft et al. (1984); Mensch et al., (1985) showed that the maternal education effect remained strong even when child spacing had been factored into the equation. Kabeer adds that lower fertility rates and increased periods of child spacing are some of the indirect routes through which mother's attributes including education, affects child survival. Analysis from the KDHS (2003) for example notes that women with no education are less likely to space their births less than two years apart when compared to women with education. The survey demonstrated that children born three to five years after their sibling are twice as likely to survive up to the age of five as children born in periods shorter than two years.

An equally broad based and even more consistently inverse relationship between mother's schooling and child mortality has been documented over the last three decades in Africa, Latin America and Asia in their National Demographic Health Statistics. This association survives controls for other socio-economic variables including husband's education and occupation (Kabeer, 2001).

### *Child nutrition*

Proper child nutrition is very critical for under-five child survival. Along with child health and survival, studies also suggest that women's ability to exercise greater agency also has positive effects on the nutritional wellbeing of their family, particularly on their children (Kabeer 2001). This complements KDHS (2003) report which provides that in spite of lower incomes and lower intake of calories, pre-school children from female-headed households where the mother has basic primary education do significantly better than children from female-headed households where the mother has no basic primary education, in relation to longer term measures of nutritional status. According to KDHS (2003), the prevalence of moderate to severe levels of malnutrition was much lower among children in female headed households where mothers had basic primary education.

### *Meeting the Millennium Development Goals*

During the Millennium Summit in year 2000 as part of the Millennium Development Goals, world governments pledged that by 2015 they will have reduced the under-five mortality rate by two thirds from 93 children of every 1,000 in 1990 dying before they were five to 31 of every 1,000 in 2015. The vision of meeting Millennium Development Goals (MDGs) and the rest of the broader goals of the Millennium Declaration is a strategy to transform lives of millions of children who would be spared illness and premature death, escape extreme poverty and malnutrition, gain access to safe water and decent sanitation facilities, and complete primary schooling.

However, a number of regions and countries have fallen behind on the goals (UNICEF, 2005). The UNICEF projections show that, only 53 developing countries will meet Millennium Development Goal number Four. The UNICEF (2005) report affirms that, of the 98 countries that are 'off track' to meet the goal, 45 are 'seriously off track' reducing their under-five mortality rates by an average annual rate of less than 1%. The vast majority of these suffer from one or more of the three major threats to childhood which include high rates of poverty, conflict, or HIV/AIDS.



The setting of MDG 4 assumed an average annual reduction rate (AARR) of 4.4 per cent in the under-five mortality rate each year between 1990 and 2015. Conversely, each year a country fell below the 4.4 target called for greater reduction in the remaining years. When the target was set late in 2000, it was already evident that countries that had faltered in the 1990s would need to intensify their efforts at reducing child deaths between 2000 and 2015, in some cases doubling the AARR if they were to have a chance of meeting the goal (UNICEF, 2005). One of the key measures include striving to achieve MDG goal number two which calls for enrollment of all children of school-going age to basic primary education and the completion of it coupled with increased efforts to ensure higher transition rates to secondary school education. With this exposure to education, greater populations of women will be equipped with basic knowledge and skills which will increase their self-regulation, self-motivation and greater agency in seeking appropriate healthcare and nutrition for her household as Katahoire (1998) rightly provides. Intensification of adult education and literacy programs targeting women especially would greatly complement these efforts, as it would reach the already illiterate adult population which stands at 38.5% with significantly higher literacy rates of 64.2 per cent among males compared to 58.9 % among females in Kenya (KNBS, 2007).

### **Theoretical framework**

The theory that was applied in the study is the Social Cognitive Theory by Bandura Albert (1986).

#### *Overview: Social Cognitive Theory*

Bandura (1986), with the publication of *Social Foundations of Thought and Action: A Social Cognitive Theory*, advanced a view of human functioning that accords a central role to cognitive, vicarious, self-regulatory, and self-reflective processes in human adaptation and change. The theory views human beings as self-organizing, proactive, self-reflecting and self-regulating rather than as reactive organisms shaped and shepherded by environmental forces or driven by concealed inner impulses. From this theoretical perspective, human functioning is viewed as the product of a dynamic interplay of personal, behavioral, and environmental influences, Pajares (2002).

Pajares (2002) gives this example; how people interpret the results of their own behavior informs and modifies their environments and the personal factors they possess which, in turn, inform and alter subsequent behavior. This is the foundation of Bandura's (1986) conception of *reciprocal determinism*, the view that (a) personal factors in the form of cognition, affect, and biological events, (b) behavior, and (c) environmental influences create interactions that result in a *triadic reciprocity*. Bandura altered the label of his theory from social learning to social "cognitive" both to distance it from prevalent social learning theories of the day and to emphasize that cognition plays a critical role in people's capability to construct reality, self-regulate, encode information, and perform behaviors.

Further, Pajares (2002) notes that rooted within Bandura's social cognitive perspective is the understanding that individuals are imbued with certain capabilities that define what it is to be human. Primary among these are the capabilities to symbolize, plan alternative strategies (forethought), learn through vicarious experience, self-regulate, and self-reflect. These capabilities provide human beings with the cognitive means by which they are influential in determining their own destiny.

#### *Relevance of theory to the study*

According to the theory, strategies for increasing well-being can be aimed at improving emotional, cognitive, or motivational processes, increasing behavioral competencies, or altering the social conditions under which people live and work.

This study seeks to investigate how the maternal level of education influences under-five child survival. This will help to verify whether the exposure of women to education and literacy, does help the mothers' capability to construct the reality of the environment they live in, self-regulate,

encode information, and perform behaviors that promote their child health care well-being and that of their general households, and how this influences the incidences of under-five deaths. In addition, it will help verify whether the exposure of women to increased and higher levels of education, increases their behavioral competence as far as child health care is concerned, and also whether it alters the social and environmental conditions under which they live.

## Research and design methodology

### *Study design*

The study adopted an exploratory survey design with the aim of collecting both quantitative and qualitative data from Kinango Division.

### *Target population*

The target population in this study was women aged 15-49 years of age from households within the four target locations, from which a representative random sample of respondents was obtained to participate in this study.

Table 2 shows a summary of the total target population

**Table 2: Target Population**

Location	Number of households	Population of Women aged 15-49 years	Average number of women aged 15-49 years per house-hold
Ndavaya	2,666	5,897	2
Kinango	2,888	5,796	2
Puma	2,212	3,161	1
Vigurungani	2087	3,781	2

**Source:** Kinango District Demographic trends Survey (2005)<sup>10</sup>.

### *Sampling technique and sample*

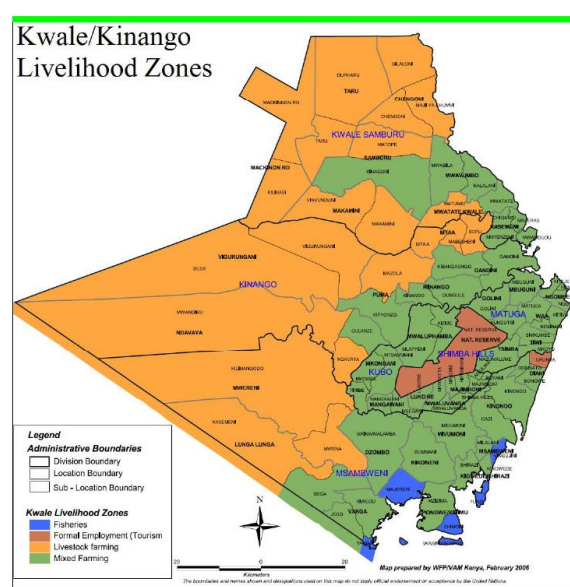
The 30 by 7 sampling technique was applied in the study. This technique was developed by the World Health Organization (WHO) in 1978. The goal of this sampling design was to estimate immunization coverage to within  $\pm 10$  percentage points of the true proportion, with 95% confidence and has generally become a standard approach to development research sampling. The 30 by 7 cluster survey is a two-stage cluster sample. Before the sampling begins, the population is divided into a complete set of non-overlapping subpopulations, usually defined by geographic or political boundaries. These subpopulations are called *clusters*. In each of the 30 clusters selected, seven households are selected yielding a sample size of 210 respondents. Although the sampling unit is the individual subject, the sampling is conducted on the household level. The subjects are chosen by selecting a household and every eligible subject in the household is included in the sample. The first household is randomly selected and all eligible subjects in that household are sampled. After the first household is visited, the surveyor moves to the “next” household, which is defined as the one whose front door is closest to the one just visited. This process continues until all seven eligible subjects are found (WHO, 2001). This approach was contextualized to the study.

Kinango division has six locations. The Area Map (See Figure 1) was used as the sampling frame from which 4 locations were selected randomly from the six locations within Kinango division.

<sup>10</sup> Kinango District Health Management team and UNICEF (2005) *Kinango District Demographic trends Survey (2005)*<sup>10</sup>. Kinango Hospital.

These locations formed the clusters. This sampling technique therefore required that 7 households be sampled from each of the selected location to form a unit of observation. However, when respondents' coverage is extremely high, like it is the case of the household population within the four selected locations (see table 2), estimating this proportion to within 10 percentage points may not have been very representative. As a result of this, it was necessary to increase the sample size of the sampled households from seven (7) to sixteen (16). This meant that a total of 64 households were selected to participate in the study. Women of 15-49 years of age within selected households were studied. The age group of 15-49 years covered Women of Reproductive Age. The rationale of using the probability sampling technique was to ensure that each study element had a non-zero chance of being included in the sample.

**Figure 1: Area Map**



**Source:** Kwale District Report (2008). *Short Rains Food Security Assessment 15<sup>th</sup> - 18<sup>th</sup> February 2008*. District Map.

Locations within Kinango Division that were selected, number of households in these locations, and the respondent sample is shown in table 3.

**Table 3: Summary of sample respondents**

Location	Number of households	Sample (Households)	Sample (Respondent women aged 15-49 year of age)
Ndavaya	2,666	16	16
Kinango	2,888	16	16
Puma	2,212	16	16
Vigurungani	2087	16	16
<b>Total number of respondents</b>	<b>64</b>		

#### *Data collection*

To enrich the study, a triangulation approach was adopted as follows:

### *In-depth interviews*

The data collection process begun with In-depth interviews which were used to collect both quantitative and qualitative data from the targeted 64 respondents who comprised women of 15-49 years of age. The interviews were conducted with the aid of structured questionnaires as the data collection tools. The questions were categorized in 2 main variables which include; the respondent's general demographic profiles and maternal level of education, child health-care and well-being. The actual number of responses received was 55.

### *Key informant interviews*

Key-informant interviews were conducted with the MOH of Kinango District Hospital and the Lead Public Health Worker stationed in Kinango District hospital. The interviews were conducted with the aid of an interview guide as the data collection tool, which was used to capture qualitative data from the MOH and the lead Public Health Worker. The interview guide contained questions related to hospital statistics on child morbidity and mortality, child-health care related services provided by the hospital and community health outreach programs running in Kinango division.

### *Focus group discussion (FGD)*

One Focus Group Discussion comprising of a total of 8 women (2 women from each of the selected locations) of 15-49 years of age, was conducted. A focus group discussion guide was used to capture qualitative data from the Focus Group Discussion members. The focus group discussion guide contained questions related to basic attitudes towards girl-child education in the division, the main causes of child morbidity and mortality in the division, practices regarding child-health care and well-being in the division and general views of the Kinango division inhabitants on the importance of mothers' education with regard to child health-care and well-being.

### *Data collection procedures*

Three trained research assistants drawn from Kinango division personally administered the in-depth interview questionnaires. The lead researcher conducted the key-informant interviews with the MOH and Lead Public Health Officer of Kinango District Hospital and also moderated the Focus Group Discussion Session with the help of an observer and a note taker. Data collection was completed within a period of thirteen days.

### *Quality control*

Research Assistants were required to administer structured questionnaires through interviews. In order to ensure reliability and validity of data, these research assistants were trained prior to data collection. The training was aimed at ensuring consistency in the interpretation of questions by the research assistants. This was followed by pre-test and correction of errors in the questionnaires. This involved visiting the study site and crosschecking questionnaires to ensure that they are being filled correctly.

To ensure greater validity, the lead researcher conducted the key-informant interviews with the MOH and Lead Public Health Officer of Kinango District Hospital and moderated the Focus Group Discussion Session with the help of an observer and note taker.

### *Ethical considerations*

Questions about the health of children, illnesses and possible deaths were a key area of focus during the primary data collection. The ill health of children among the Kinango Division community is mainly understood to be as a result of absolute neglect by their care-givers, in this case the mothers. These questions would therefore be embarrassing or seem demeaning to the respondent. In addition, HIV/AIDS was one of the areas covered while exploring the issue of children's health in the division. HIV/AIDS is a very sensitive issue in Kenya and in particular among the Kinango Division Community.

Also, questions on the levels of education of the respondents may have been embarrassing and painful particularly to those who had extremely low or no levels of education, and may have had aspirations to achieve some level of education but circumstances did not allow them to do so. For this reason, the following ethical considerations were taken into account during the research:

- a. For the purposes of seeking informed consent, a letter of introduction was written to the office of the chiefs of the four locations that formed the study sites. The letter indicated the overall objectives of the study and the channel through which the results of the study would be shared (see appendix A).
- b. A letter of introduction was written to the MOH and the Lead Public Health worker (see appendix C) requesting for an interview on the subject matter. It also indicated the overall objectives of the study and the channel through which the results of the study would be shared. This also served the purposes of seeking informed consent.
- c. There was proper rapport creation in the recruitment process of the FGD participants. In addition, at the onset of the discussion, the participants were informed of the overall objectives of the study and the channel through which the results of the study would be shared.
- d. Response to the research instruments and participation in the study was purely voluntary.
- e. The respondents were assured of confidentiality.
- f. The Rights of the respondents were observed whereby; the respondents were encouraged to answer all questions in the data collection tools, while they also had the choice of declining to give answers to questions that they felt uncomfortable with.
- g. The questionnaire respondents were given total privacy during their interviews.

### *Data analysis*

#### *Data preparation*

As soon as the data from the in-depth interviews was received, it was screened for accuracy. The following questions were asked:

- a. Are the responses legible?
- b. Are the responses complete?

A statistical program was set up using SPSS and the data was logged into and stored in the program. The data was then coded and a printed codebook was generated. The entry of data into SPSS included confirmation checks using random questionnaire verification. The data was then cleaned to get rid of outliers that were caused by data collectors and during entry of data into SPSS.



## Analysis techniques

The data was analyzed using SPSS.

Summaries were drawn from this data using the following methods:

- a. Use of Graphical methods.
- b. Use of Numerical methods where feasible such as Measures of Central Tendency & Dispersion.
- c. Use of Descriptive methods especially with results from the Personal interview with the MOH and the Lead Public Health Officer, and also results from the FGD.

## Findings

### Location of study and levels of education

The study was carried out in 4 locations of Kinango division of the Coast Province of Kenya with the aim of gathering information on the influence of maternal level of education on child mortality. The results showed very low levels of education amongst mothers in Kinango division, with 60.1% of all respondents having not completed primary education with a significant 18.2% either not having any education at all or not going beyond pre-primary education level.

### Fertility rates and age at first birth

The results showed high fertility rates manifested by the low birth spacing with mean gap between births was 2.32 years with a significant 19.5% of the respondents having less than 2 years spacing in their previous births and high fertility rates with an average number of 5 children per respondent. In addition, 65% of the respondents had given birth by their 20<sup>th</sup> birthday with 12.5% having given birth by their 15<sup>th</sup> birthday. The ages of 15-20 years are primary and secondary school going ages, given the late entry levels to schools in the area. This shows that a good percentage of mothers gave birth to children without the appropriate and adequate knowledge and skills on child health care and wellbeing.

### Ante-natal, natal and post-natal care

Despite high ante-natal attendance of 90.4%, over 85% of the respondents did not have an attendant, had a lay person or an untrained birth attendant during child birth. A dismal 10% was attended either by a professional birth attendant or a medical professional. This has a likely effect on the survival of the child. Further information showed that Kinango District hospital has a Maternal Child Health (MCH) care unit where pre-natal, post-natal, vaccination, family planning methods and general Reproductive Health training and services are freely given. The service providers are trained Government nurses. The mothers turn up for these forums and services is good but not consistent as recommended and required, which is a manifestation of the high levels of ignorance contributing to poor child Health care and reduced chances of under-five child survival.

### Water and sanitation

Despite the need to treat water, only 54% boil their drinking water (see table 4.9). This is worsened by the sources of water which are likely to be contaminated with 60% of the respondents using water from sources that ranged from streams, to hand-dug wells to springs, which required treatment and the poor storage of drinking water with 97.9% of households storing water in Jerri cans or buckets which are highly prone to infections. In addition, information gathered during the Focus group discussion revealed that pit latrines are not valued in the area, and the women and men alike do not appreciate their value in sanitation.

More information generated showed that sanitary practices within the households which include cleaning of hands after helping themselves or before eating are rarely practiced despite the several sensitization forums done by the public and community health workers in the community. These poor sanitary habits have led to illnesses like typhoid and malaria. This explains the high incidence of diarrhoea among children less than five years of age. This can be explained by the low levels of education of women in the area which negatively impacts on the mothers.

#### Malnutrition

According to the MOH, malnutrition is very high in the area accounting for 13.3% out of 27 under-five deaths registered in Kinango District hospital, in the last one year. The MOH attributed this mainly to the high cost of food which had to be brought all the way from Mombasa town. In addition, the soil in the area and the poor rainfall pattern is not suitable for intense food crop farming. Besides, there is no permanent river flowing in the area that would encourage irrigation. Most of the water is saline and very poor for irrigation. On the other hand, the MOH and lead Public Health worker pointed out that the Kinango community members tend to be lazy, in addition to waiting upon hand-outs from NGOs, as opposed to fending for their families.

#### Malaria incidence in the household

According to the data analysis, a significant 76.9 % had a family member suffer from malaria in the last one month 70% of which was a child. This shows that malaria incidence among children in this area is very high and a likely key cause of under-five deaths. The main method of prevention is the use of mosquito nets (95%) with only 5% using prophylactic treatment. The FGD and interviews with the MOH and Lead Public Health Worker revealed that there was poor acceptability of mosquito nets distributed by the Government and NGO's by mothers.

#### HIV/AIDS

81.5% of the respondents were aware of HIV/AIDS issues. They attributed this to the sensitization forums held by the public health workers and local NGOs. Only 10% of the respondents acknowledged HIV/AIDs in the family with either the spouse or the interviewee being positive. However, the recurrent sicknesses occurring in the household are likely HIV/AIDS related illnesses and their frequency is a likely indicator of high prevalence of HIV/AIDS in the area, and possible ignorance, denial or stigma of the status of the infected and affected.

#### Incidences of under-five deaths

26.2% of the respondents had lost a child who was less than 5 years. Additional information given by the Kinango District hospital MOH showed high morbidity and mortality rates with a total of 860 admissions and 27 deaths in a period of one year. According to the findings, illnesses were the main causes of under-five mortality. Information received from the Kinango Hospital MOH showed that malaria was the highest under-five killer disease in the area at 24.4 % followed by Pneumonia at 17.8% and Malnutrition at 13.3%, severe Anaemia at 11.1% Neonatal sepsis at 6.7%, HIV related illnesses at 4.4%, Rheumatic Disease at 2.2 % and Meningitis at 2.2%. The child mortality rate in the hospital stood at 5.2 %.

According to information generated from the interview with the Kinango District hospital MOH, the Lead Public Health worker and the FGD, mothers in the area are the main care-givers and are therefore, the ones who mainly seek medical attention for their children. However the general low levels of mothers' education in Kinango division makes it difficult for the doctors and other medical practitioners to diagnose the nature of the illness of a child because the mother is not able to construe the child's medical history. This often leads to misdiagnosis and administration of the wrong medicine to children. In addition, according to information gathered from the MOH, most

child death cases occur after 6-24hrs of admission to the hospital because the cases are reported when it is already complicated.

## **Recommendations**

Based on the study findings, the researcher makes the following recommendations to the Policy Planners and Development Partners:-

### *Education*

The Government should investigate why education levels of women are so low and come up with means to address this. Some of the recommended means include:

#### Formal education

- a. Increase awareness on the importance and benefits of girl-child education while giving practical examples with relevance to child health care and well-being as they are the main care-givers
- b. Increase sensitization on government policies especially on free and compulsory primary school education for all, as well as enforce them.
- c. Introduce sanctions on child marriages, in order to promote the enrolment and completion of at least the basic primary level of education among the girls. This will in effect reduce the rate of early child-births hence increasing the rate of child survival.
- d. The area has very few secondary schools. The Government should embark on constructing more secondary schools for both boys and girls in anticipation of increased transition rates. This will serve as an indirect motivation for the children, their parents, primary school teachers, development partners and community members in general.

#### Non-formal education

Given general low literacy levels, it is crucial for the Government to increase sensitization on the importance of Adult education as well as a thorough implementation of the Adult literacy program in the division. This will resonate with KNBS (2007) which provides that in order to complement formal education, Adult literacy programs targeting high enrollments of women who are mainly the excluded and unreached, need to be stepped up and spread across all regions in the country with the aim of reaching the average illiterate adult population of 38.5% in Kenya.

#### Informal education

- a. Agriculture

The area is an ASAL. Rain scarcity and food shortage is therefore a common phenomenon yet the main occupation is peasant farming. Education by Agricultural extension officers on the variety of crops that can thrive in the area, including the various 'ignored' locally available/indigenous foods, can therefore, help in reducing the high incidences of malnutrition. They also need capacity building through teaching on proper farming methods and provision of land-tillers e.g. tractors.

- b. Health

Information gathered during the interview with the MOH and lead public health worker showed that a majority number of Kinango inhabitants who have livestock, prefer keeping the livestock

as opposed to slaughtering them for the purpose of meat consumption in the household or selling them and using their proceeds to purchase household food or for medical fees in case of illnesses among family members especially the children. Also, there is need for increased education among community members on the importance of health facilities which are however, underutilized. Also, the study revealed that most child deaths occur after 6-24 hours of admission to the hospital, because the cases are reported when the illness is already complicated. Education on the importance of early intervention is therefore paramount in order to prevent these deaths. In addition, increased community sensitization on the various preventive measures of the common diseases in the area is required. This would include sensitization on the proper use of treated mosquito nets.

#### c. Boy-child reference

Boy-child preference to the girl child is rampant in the area. Increased education on the value of both boys and girls will help reduce the high fertility rates prevalent in the area, hence improved child health-care and well-being.

### 6.2 Livelihoods

Absolute poverty characterized by low levels of household income which contribute to poor nutrition, poor housing, poor access to basic health-care, poor entry and completion levels in education, and low regard for education is a key phenomenon which impairs growth, development and fulfillment of the inhabitants of Kinango division. Improving the livelihoods of the Kinango inhabitants therefore, will help alleviate poverty and hence improving the standards of living. Another indicator of the high poverty levels is, Child birth as a key expression of self-worth and wealth among the women and men hence the low birth spacing and high number of children in the area. The Government in collaboration with the development partners in the area and the community members need to look into ways of improving the livelihoods and most importantly the general living standards of the inhabitants of Kinango Division. One such intervention is increased education on how to translate house hold wealth into money that can improve the well-being of the household including health.

#### Child morbidity and mortality and general health care

- a. Access to safe water is a major issue and the Government and development partners need to address this. This should be coupled with increased awareness of hygiene and water storage methods.
- b. Increased community sensitization on general sanitation.
- c. Increase the number of doctors serving in Kinango District hospital.

#### HIV/AIDS

- a. Due to recurrent illnesses, there is need to investigate in depth, HIV/AIDS prevalence in the area and how the level of education of the mothers as the main care-givers can have effect in addressing the emerging issues.
- b. From the interview with the MOH and lead PHW it was found out that a person infected with the HIV virus would rather go to Samburu division which is more than 50 Kms away, to collect ARVs, rather than pick them at the Kinango district hospital which is an indicator of social stigma. This needs to be addressed with increased provision of VCT services.

### Infrastructure

- a. Drilling of more bore-holes, digging of more wells and installing water pipes connecting to the already set-up CDF water tanks.
- b. The poor road-network in the area affects the prices of food leading to malnutrition. Grading or tar-marking the various roads linking to the city of Mombasa needs to be done. This will reduce the otherwise high cost of food.

### Recommendations to the community members

- a. Community members, especially women who have not gone beyond the basic primary education should enroll in Adult Literacy classes.
- b. Community members and especially mothers should educate one another
- c. Fathers should participate in the MCH counseling sessions in order to support the mothers in child health-care and well-being at both the household and community level.
- d. Community members should put into practice what they learn in the various sensitization forums
- e. Community members should establish community norms and rules with regard to child health-care and well-being and establish accountability forums which will be both rewarding and punitive as when applied and not applied respectively.



## References

- African development bank and African development fund (2007). *Kenya country gender profile*. Human development department.
- Asian-south pacific bureau of adult education (ASPBAE) and International Council of Adult Education (2001) *Emerging trends in adult literacy policies and practice in Africa and Asia, NGO perspectives*
- Bandura, A. (1986) *Social Foundations of Thought and Action: A Social Cognitive Theory*. Englewood Cliffs, NJ: Prentice Hall. Retrieved September, 15, 2007 from <http://www.SocialCognitiveTheoryOverview.htm>.
- Central Bureau of Statistics and Macro International (1999). *Kenya Demographic Health Survey 1998*. Ministry of Planning and National Development: Government Printers.
- Central Bureau of Statistics (CBS) [Kenya], Ministry of Health (MOH) [Kenya], and ORC Macro (2004). *Kenya Demographic Health Survey 2003*. Calverton, Maryland: CBS, MOH and ORC Macro.
- Central Bureau of Statistics and UNICEF (2003). *Multiple Indicator Survey (MICS) Report, 2000*: Nairobi: Ministry of Planning and National Development.
- Central Bureau of Statistics (CBS) [Kenya], Ministry of Health (MOH) [Kenya], National AIDS Control Council [Kenya], Kenya Medical Research Institute [Kenya], and National Council for Population and Development [Kenya], (2015). *Kenya Demographic and Health Survey 2014: Key Indicators*. Kenya National Bureau of Statistics.
- Chege, N. F. and Sifuna, N. D. (2006), *Girl's and Women's Education in Kenya, Gender Perspectives and Trends*. UNESCO, Nairobi.
- Department of Adult Education (DAE) [Kenya], Central Bureau of Statistics (CBS) [Kenya] and UNESCO Nairobi. *Kenya National Adult Literacy Survey Report (2007)*. Kenya National Bureau of Statistics, 2007, Nairobi.
- Government of Kenya (2006). *Gender Equality and Development*. Ministry of Gender, Sports, Culture and Social Services. *Kenya Sessional Paper No. 2*.
- Government of Kenya (2000). *Kenya Population and Housing Census, 1999*. Nairobi: Government Printers.
- Government of Kenya (2005). *MDGs Status Report for Kenya*. Ministry of Planning and National Development. Nairobi :Harambee Avenue, Treasury Building.
- Government of Kenya and UNICEF (1992). *Situation Analysis of Children and Women in Kenya 1992*. Nairobi: UNICEF.
- Kabeer, N. (2001). *Gender Equality and Human Development: The instrumental Rationale*. UNDP Human Development Report 2005.
- Katahoire, A. (1998). *Education for Life - Mothers' Schooling and Children's Survival in Eastern Uganda*. PHD thesis 1998. Retrieved November, 10, 2007, from [http://enrecahealth.ku.dk/postgrad\\_ia\\_en/katahoire\\_abs](http://enrecahealth.ku.dk/postgrad_ia_en/katahoire_abs).
- Kenya Institute for Public Policy Research and Analysis (2013). *Kenya Economic Report: Creating an enabling Environment for Stimulating Investment for Competitive and Sustainable Counties*. Nairobi, Kenya.
- Kenya National Bureau of Statistics (KNBS) and Department of Adult Education (2007) *Kenya Adult Literacy Survey Report 2007*. Government Printers.
- Kinango District Health Management team and UNICEF (2005) *Kinango District Demographic trends Survey*. Kinango Hospital.
- Kwale District PRSP (2004). *Consultation Report for the period 2001-2004*. Ministry of Finance and Planning. Government printers.
- Kwale District Report (2008). *Short rains Food Security Assessment 15th - 18th February 2008*. District Map.
- Pajares, N. (2002). *Overview of social cognitive theory and of self-efficacy*. Retrieved September, 15, 2007, from <http://www.emory.edu/EDUCATION/mfp/eff.html>.

- UNDP (2003). *The Millennium Development Goals: Progress Report for Kenya*: Ministry of Planning and National Development and United Nations.
- UNICEF (2004). *Progress for Children: A Child Survival Report Card Volume 1*. New York: Published by the UNICEF Division of Communication, USA.
- UNICEF (2004). *The State of the World's Children: Childhood under Threat*. New York: UNICEF House, 3rd UN PLAZA.
- UNICEF (2005). *The State of the World's Children-2006: Excluded and invisible*. New York: UNICEF House, 3rd UN PLAZA.
- Universal Declaration of Human Rights and Program of Action (1994)*: International Conference on Population and Development.
- WHO (2001). *Description and comparison of the methods of cluster sampling and lot quality assurance sampling to assess immunization coverage*. Department of vaccines and biologicals. World Health Organization Geneva 2001.
- WHO (2003). *Global Strategy for Infant and Young Child Feeding*. Geneva: WHO Publication.
- WHO, UNICEF, UNFPA (2004). *Maternal Mortality in 2000*. Department of Reproductive Health and Research World Health Organization, Geneva 2004.

**Table 4 Level of Education**

Level of Education	Response (%)
None	18.2
Pre-primary	16.4
Primary incomplete	25.5
Primary complete	16.4
Secondary incomplete	5.5
Secondary complete	7.3
Post-secondary	10.9

**Table 5 Incidences of under-five deaths**

Previous loss of child	Response (%)
Yes	26.2
No	73.8

# Local Democracy and Representation in Municipal Council

*Mehmet Akif Çukurçayır, Selçuk University, Turkey*

*Hayriye Sağır, Selçuk University, Turkey*

*A. Arda Yüceyılmaz, Selçuk University, Turkey*

Turkey is a country which has been attempting to generate its political culture through modern political institutions and behaviors since 1839. The Tanzimat is considered to be the starting point particularly as a period when the concept of citizenship as well as local and regional councils emerged. After a long cessation in participatory politics, some significant developments took place in 1950s. The laws promulgated after 2003 aimed to promote democracy at the local level. Participatory behavior is regarded as one of the basic indicators of civilization in the literature of political sciences. Realization of participation is considered as the main criterion of citizenship and the quality of citizenship is evaluated in accordance with the behavior of participation. The most important indicator of participation is voting. Appointment of mayors and municipal council members through voting on the local level refers to meeting one of the essential requirements of participatory democracy. The municipal council constitutes one of the most important decision-making mechanisms where local democracy is practiced (Çukurçayır, 2012: 136-138). We analyzed interviews with Konya Metropolitan Municipality Council members from the perspective of participation and local democracy. Studies about municipal councils in Konya are rather limited in the literature. A survey was carried out with municipality personnel in 2000 which gives some clues about municipal works. This study reflects that the question about “the ruling party in council decisions” was answered as “Refah Partisi (Welfare Party)” with an 86% rate (Keleş & Toprak, 2000: 159). Currently, the Metropolitan Municipality Council members present us with a homogenous structure due to the limited number of oppositional members. Decision-making processes take place under the supervision of the “ruling party”, and more importantly, the “mayor”. In a micro-scale study, it was found that the “mayor” and “bureaucracy” were more effective than the council.

Recent legal developments have strengthened this scene. Turkey has entered a new phase that profoundly affected all the administrative system with the Law no 6360 executed since 2013. When this law was a draft, it was criticized for “weakening local democracy” (Çukurçayır, 2012), “leading to extending the scale and making representation and participation more difficult and meaningless” (Görmez, 2012). However, these criticisms were disregarded and the law code entered into force, making metropolitan municipalities the executor of the Turkish administration system. In consideration of this, it is of vital importance for administrative reforms in Turkey to watch the system closely.

In the fieldwork we conducted in Konya, almost all interviewed members were members of the metropolitan municipality council except for one who was member of the opposition party and not a member to any commission. Three of the interviewed members were the commission chairmen and the remaining six were commission members, while one was a council member. Job distribution of interviewed members was as follows: One dentist, one housewife, one retired officer, three lawyers, one salesperson, two architects, and a financial advisor. Nine of the members were university graduates and one was a high school graduate.

Being one of the rapidly growing and attracting cities of Turkey, Konya has been a metropolitan municipality since 1989. Only three mayors were appointed within the 26 years since 1989, who were Halil Ürün, Mustafa Özkafa, and the current mayor Tahir Akyürek. The first two were members of the Welfare Party Refah Partisi), while the last mayor is a member of AKP (Justice and Development Party).

---

This study was carried out jointly with Bilgi University Center of Migration Researches..

The understanding of conservative municipal administration which started with the Welfare Party continues with AKP today. Indeed, prior to and after 1980, mayors in Konya were from central right parties. Conservative mayors and conservative understanding in municipal administration dominated Konya, except from Ahmet Hilmi Nalçacı from the Justice Party (Adalet Partisi- AP), who was the leading actor in the construction and urbanization of Konya, and the interim regime period in 1980.

Konya is a city which has traces of a number of civilizations. However, the most important factor which draws attention to the city and bestows it its main identity is that it was the capital of the Anatolian Seljuk State in the 13<sup>th</sup> century. Konya is the largest city in Turkey in terms of the areas it covers and its population is 2 million 79 thousand according to the 2013 census (Türk, 2013: XIV). Population of the city centrum is about 1 million two hundred thousand. Konya is a nominee to become one of the most important metropolises of Turkey.

There are three district municipalities in the city centrum in Konya. Selçuklu, Meram and Karatay districts used to be in the coverage of the Metropolitan Municipality prior to March 30, 2014. However, after that date 28 more district municipalities were annexed to the borders of Metropolitan Municipality, making it almost a “regional parliament” with 131 members under the Metropolitan Municipality Council. Konya Metropolitan Municipality has the largest service area of Turkey as far as areas are concerned. While Konya Metropolitan Municipality was responsible for delivering services to an area of about four thousand meter squares before its service domain was extended to the city borders, this area grew by 10 times after the Law 6360 was adopted, and Konya Metropolitan Municipality became responsible for rendering services to almost 41 thousand kilometer square of urban and rural area. The Metropolitan Municipality Council is comprised of 131 members, 16 of whom support the Nationalist Movement Party (Milliyetçi Hareket Partisi- MHP), two of whom support People’s Democracy Party (Halkların Demokratik Partisi-HDP), two of whom support the Republican People’s Party (Cumhuriyet Halk Partisi- CHP) and 110 of whom support AKP. As is seen, AKP has a large majority and dominance in the metropolitan municipality council.

**Table 1: Distribution of Konya BŞB Council Members to political parties**

Political Party	BŞB (Metropolitan Municipality) Mayor Vote rate	Municipal Council membership Vote rate(%)	BŞB Council Members’ Number	
			Members from districts	Majors
AKP	64,3	60,9	82	28
MHP	18,5	21,9	13	3
SP	7,5	5,9	0	0
CHP	5,7	6,6	1	1
BDP	1,9	2,2	3	0
TOTAL			131	

### Interviews of Konya Metropolitan Municipality Council’s Commission Members

All of Konya Metropolitan Municipality Council members are supporters of the ruling party. Nine commissions were established under the Metropolitan Municipality Council after March 30, 2014 elections and each of them included 7 members. None of the 56 commission members support the opposition party. There is only one woman in the commissions except the commission involved in women. The youngest commission member interviewed under this study is the female member, aged 28, who was elected for the Metropolitan Municipality Council from Selçuklu Municipality and works under the Women’s Commission. Other members belong to the middle age group. Since there are no

members from the opposition parties in commissions, we interviewed a metropolitan municipality member from the opposition (MHP) outside the commissions. In total, 10 people were interviewed. Appointments were arranged with the help of acquaintances. Some of the members rejected the interview request in direct meetings. Some of the members who rejected to be interviewed stated they were too busy as businessmen, and others did not come to the interview although they accepted to meet.

We asked for the opinion of council members with regard to

- their jobs,
- political backgrounds,
- approaches to the municipal system,
- local autonomy,
- perspectives on problems in rural and urban areas,
- ways of interaction with shareholders in decision-making processes,
- relations with the party they belong to,
- perspectives over local democracy and local representation, and
- comparison of the new municipal model with the former one.

We summarize the outcomes of interviews as follows:

**1- De facto ruling structure beside formal processes, those who are effective in decision-making processes:**

Almost all interviewed metropolitan municipal council members mentioned directly or indirectly of a single-actor structure in the decision-making mechanism. The agenda is determined by the mayor in line with the information and data from relevant administrative units. Subjects received from department heads are selected, put into the council agenda, and then sent to commissions. Some members asserted that decisions must be discussed in the council, that the council still failed to do so, but needed to learn this. Being emphasized by some of the members, this issue is considered important for a “healthier” decision-making as they refer to it. Considering that all commission members are from the same party, it can be underlined that the request for operation of participatory processes in the council is strong.

Negotiations or discussion methods are rarely employed in decision-making. We drew the overall conclusion that district municipal council were more open to discussions, but the 130 members in the Metropolitan Municipality could not practice such opportunities to discuss and negotiate, or even if they did, it was rather superficial.

It is understood that commissions have generally failed to operate since March 30, 2014, some meet only once and fail to make any decisions in the meantime. It was seen that only some of the commissions worked effectively (2-3 meetings), which were planning- budget, public works, and women commissions.

A rather interesting case was that the Supervision Commission had not been established under the Metropolitan Municipality Council, which points to the fact that the generally expected democratic functionality has not been provided in commission works yet.



## **2- Relations between the local Rule and Opposition in Metropolitan Municipality Councils**

More than 60% of Konya Metropolitan Municipality Council members are composed of supporters of the ruling party and there is not even one member from the opposition party, which brings us to the conclusion that AKP is the single political power in effect in decision-making of the metropolitan municipality council. Since there are no members from the opposition, we interviewed another Metropolitan Municipality member (MHP supporter) out of the council. No problems are encountered in decision-making since AKP is dominant. All members mentioned that ruling party and opposition relations were rather good, and that the grand assembly operated flawlessly. They emphasized that opposition members in the assembly were relatively reconciliatory and conformist.

## **3- To what extent participatory mechanisms operate, which urban groups are influential, feudal structure, family bonds, and ethnic, sectarian and community relations of council members within the domain of city's own characteristics:**

According to data from interviewed members, the participation mechanisms do not operate at all. In general, lawyers, contractors, financial advisors, dentists and housewives seen close to the ruling party were nominated by the party. Candidates generally explained that they did not make efforts to become council members, but were nominated by the party. It can be emphasized that membership to a variety of conservative foundations and associations was determinant in the selection of council members. Decisions in the Metropolitan Municipality Council are not subject to negotiation/ discussion processes and are generally taken by the "yes-no" votes. None of the interviewed council members expressed opinions about the fact that relations with a variety of conservative foundations and associations was determinant in their election or decision-making processes. Members can be said to have shown a nondiscriminatory and democratic approach against such differences.

One participation mechanism that might be effective on the local level is city councils. One of the most significant reforms made by AKP after 2003 has been the establishment of city councils. However, very trivial steps have been taken both at the municipal and at the district level since 2006, when this regulation entered into force in Konya, and after a while, processes about city councils were suspended for a while. Metropolitan Municipality's city councils fail to work. The city council held only two meetings in 2007 and 2009 for establishment purposes, and has long been pending now. All council members emphasized that city councils did not work.

As is understood from the statements of council members, meetings outside the council with informal groups (friends, religion-oriented NGOs) is common. It was mentioned that evaluations made in such meetings were not reflected on the council, but had positive impacts. Members emphasized that such relations were friendship/ fellowship-based and that informal relations were significant in evaluating problems of the city and their reflection in the council.

## **4- Relations of council members with diverse segments**

Interviewed council members paid attention to underline that no "conflicting" or "oppositional" relations existed between themselves and other shareholders on the horizontal and vertical sections and that their relations not only with council members, but also other shareholders were generally "positive" and "harmonious".

### **a. Relations with the local community:**

Members had significant recommendations with regard to public relations, which deserves attention. It has been emphasized that council members had problems with public relations. Some members emphasized the necessity for the Metropolitan Municipality Council or the relevant party to determine a "field of responsibility" for each member and for the members to get involved in the problems encountered in their respective fields. As council members stated, public relations are weak

and need promotion. On the other hand, it was seen that some members held monthly meetings with the mukhtars in their districts on their own initiatives. It can be said that the time members can allocate for the community is very restricted due to their occupations. We could not meet some council members although we made phone calls due to their jobs as lawyers, engineers, contractors, financial consultants, dentists, etc., while some others cancelled the appointments.

It can be concluded from the above discussion that Council members should have fields of responsibility and those who cannot allocate sufficient time for public relations due to their occupations should not be nominated as council members.

b. Relations with the party head office

Council members have seemingly no direct relations with the party head office. There are council members with kinship affinities to ministers and members of parliament. Others were elected to the council through some organizations and maintain their tasks there.

Council members were observed to have very strong ties with the political party they supported and to avoid any kind of criticism of it. Consequently, the message conveyed by interviewed commission members was as follows: "Our party understands the needs of our community well, takes appropriate decisions, and performs appropriate practices." No incompatibility was observed between council members and the party. Some council members explained that they would make any kind of sacrifice for their party, that the party was a chance for Turkey, and that they work for the sustenance of this condition.

c. Relations with the government

It was found that council members had no direct relations with the government. They underlined that they reached the relevant representatives when they needed, so there was no need for them to establish direct relations with the government.

d. Relations with the bureaucracy

Council members emphasized that they generally did not experience problems with the "municipal bureaucracy". They stated that relevant bodies of their municipality were in touch with other bureaucratic authorities, therefore there was no reason for them to establish direct relations with them. Council members mentioned they had concordant relations with all shareholders, so they did not experience problems with the bureaucracy.

## **5- How council members consider their own positions**

Metropolitan Municipality Council members regard their position in local politics as significant. It is understood that they seem pleased of being part of a mechanism that comes up with solutions to social problems and of such processes. Council members expressed their opinions straightforward about cases that restrict their activities and when their expectances were not met, and asked for a higher level of democracy. They were observed to feel disturbed by being ineffective enough in the council and by the fact that decisions were taken solely by the mayor. Some council members were very careful in answering some questions lest they could lead to a damage to their party they supported. It was clearly seen that the idea of "What if I cause damage to the party due to what I say? I should not be conflicting with my party" was dominant. The reason for this is that even though some members criticized certain processes of the party, they asserted that this would not constitute a problem and their party and the municipality operated well, and that all problems could be resolved in time.

## **6- Opinions of council members about the metropolitan municipality and the new model**

Members generally reflected positive opinions about the new municipality model; however, some of them stated that it had led to some obstructions in services rendered to rural areas.

a. Activities of the Metropolitan Municipality

Interviewed council members lay more importance on the activities of the Metropolitan Municipality. Commissions under the Metropolitan Municipality are not much effective. Members attend council meetings in general. Some members asserted that activities of the commission presidents were sufficient and satisfactory. Some members said that commission presidents performed the necessary activities on their behalf and regulated relations, which points to the fact that the understanding “members do not need to be much active” is predominant.

**b. Opinions about the relations between Metropolitan Municipality and District Municipalities**

Members generally mentioned that relations between Metropolitan Municipality and District Municipalities were pleasant. Addressing to the concordant and positive relations between the municipality and districts, and to the fact that mayors point to the problems in districts during council meetings, council members underlined a flawless operation relation. On the other hand, the state of relations between district mayors and the metropolitan municipality mayor depends on personal attitudes. In the former period, relations between some central district mayors and the metropolitan municipality mayor were tense and this situation appeared in the press more than once. In general, district mayors might complain about the metropolitan municipality mayor and the reason for this is that the metropolitan municipality discriminate between municipalities and inconveniences occurred in terms of prioritizing investments and such problems were also made known to the public. However, it must be mentioned that such problems are experienced in all metropolitan municipalities and can lead to failures in rendering public services in metropolitan municipalities.

**c. How they evaluated the new regulation introduced with law no 6360**

It cannot be claimed that the new system is yet totally comprehended. Most of the municipality council members regarded change as “very useful”. The reason for this was summarized as municipality budget and experts would be efficient and provide their services faster. Very few members said that locality was damaged and previous structures should not be abolished. Change of addresses of those who ask for public services might lead to halts in provision of services. Members generally attempt to welcome the new system in an optimistic manner. A significant majority referred to some problems and to the fact that they could be resolved in time. However, it is necessary to underline that members retained the worry of paying attention to avoid any statement that conflicted with the party.

The most important criticism related to this was about delays in public services rendered to rural areas. Moreover, there are also those who considered it a problem that key authorities and resources of district municipalities were transferred to metropolitan municipalities. Some members considered that all municipalities in the city centrum be abolished and the metropolitan municipality remains as the single authority. There were also considerations that district municipalities were a waste.

**7- What they understand of the concepts of “Local Autonomy” and “Local Democracy”**

Some of the interviewed council members explained that expectations of the community did not reach the council, while a significant portion stated that everybody’s problems were dealt with. Local democracy is considered as the operation of the “representation” mechanism. Even though council members demand more effectiveness in the council, participatory methods are not sought much. On the other hand, some of the members we interviewed asserted that democracy was not practiced much, and actual problems were determined and dealt with by the mayor while they should be raised by the council and then communicated to commissions; which made council members ineffective. It was also stated by a large majority of members that municipalities had no problems with local autonomy, but structures consisting of “some cities” could damage Turkey. Only one member considered no drawback in this. The same person also mentioned that there was no need for district municipalities in city centruns.

According to members, Turkey absolutely did not need a system congruent with federal states, and there were no political, social and economic justifications that required regional administration.

Municipalities already have “administrative and economic autonomy” in the existing local administration system. A structure beyond this would damage Turkey’s integrity. There is a need to make reforms in order to protect conventional structures and transform them into effective, sufficient and democratic ones. Some members stated that regional administration was “a rather premature idea for Turkey” and could be employed in time in parallel with further promotion of democracy. Some members asserted that ethnic-based politics in the Southeast of Turkey left no opportunities for regional administration and could arouse significant problems with regard not only to the unitary structure, but also to localization. Only one member emphasized that Turkey was a great country, so there was no point in abstaining from anything, and regional administrations could be established.

## Conclusion and Recommendations

The most important conclusion that can be drawn from interviews with nine commission members and one council member out of the commissions under Konya Metropolitan Municipality Council is that neither council members, nor commissions participated actively in decision-making processes in a functional manner. While it was observed that there were qualified members with a wide vision and perspective as far as rural development and urbanization are concerned, it can be stated that some others evaluated their membership in council and municipal structure merely from the view of “party loyalty”.

It is understood that decision-making in the council turns into a technical performance of duties realized as a result of bureaucratic correspondences rather than democratic processes. Requests from rural and urban units are negotiated at department heads and relevant units under the Metropolitan Municipality, and those which are considered appropriate are sent to the council and active/operating commissions. Some of the inactive commissions have never held a meeting and those which did it only met for once and addressed to issues about the overall policies.

On the other hand, some council members claimed that topics addressed by the council were negotiated in a rather democratic and modern environment, and that very harmonic cooperation existed between the ruling party members and opposition members. No specialists have been invited and consulted by council members themselves since commissions commenced their operations.

The role of TOKİ<sup>12</sup> for urban transformation is generally welcomed, however, few as they may be, some of the members stated it disrupted the integrity of urban planning as well as dynamics of the urban development.

Responses given to questions concerning the city reflected that the problem of transportation was the leading one. This was followed by the problem of urban transformation, and then the infrastructure, employment and relief activities oriented towards the poor.

Members of the metropolitan municipality council do not consider election of municipality council members directly by the society positive in general. There is a strong belief about the efficiency of the existing election system.

There is an unmitigated compromise on the fact that no problems are encountered about representation. All members share the opinion that almost all strata of the society are represented well in areas under the responsibility of the metropolitan municipality council. Not only people residing in

---

<sup>12</sup> TOKİ: Abbreviation of ‘Housing Development Administration’. (T.N.)

urban or rural areas, but also poor people are represented well by the metropolitan municipality council according to the members.

Some members of the municipality council underlined the necessity to discuss the urbanization policies in the city centrum based on the assertion that construction activities in the city center brought along an unpreventable crowd and this made the city hard to reside, which led to a process that weakened the understanding of sustainable urbanization. Some members specifically pointed to the need for the city to have sustainable urbanization policies and an understanding of architecture. Some of the members who mentioned that high and close buildings led to a stuffy urban construction, that urbanization needed to be distributed all over the plains of Konya, and that the public transport network, particularly metro, should be taken into account, underlined that some public dwellings and buildings in urban areas were planned inappropriately and irrevocable mistakes were made.

To summarize, within the existing system, it is obvious that the metropolitan municipality council which acts like a local parliament possesses significant roles with regard to local democracy. It is clear that some meetings need to be held for discussing such issues as election of council members, their appointment to work in commissions, and the decision-making processes in the council. First of all, determination/ election of council members must be done by consulting relevant sections and a “preliminary interview”, which will promote local democracy as well as local politics. Second, members from the opposition must be present among council members who will be elected for commissions in cases when all members are from the ruling party, then the initiatives of members must be enhanced. Thirdly, conditions required for council members to convey problems relating to their relevant fields of responsibilities to the council and to determine the agenda must be provided. Lastly, city councils, which might “inspire” municipality councils in terms of “consultancy” must become functional.

“Quota members” must be elected to municipality councils. Councils must include members from universities, unions, professional organizations and representatives from central administrations. 10% or 5% of the council may comprise of such members, who may not have the right to vote as opposed to the idea that it would conflict with the local democracy. However, if such members are given the opportunity to reflect the interests of the social strata they represent and make democratic contributions in council meetings, then local councils could operate more effectively and in conformity with their aims. On the other hand, “specialty commissions” were projected in local administration laws for the purpose of participation in decision-making processes. It was prescribed that experts and NGOs be invited to participate in such commissions. However, effectiveness of practices decreases due to lack of compulsory participation (Azaklı&Özgür, 2005: 318).

The fact that the council is comprised of several members does not mean that local democracy is effective. That the position of the mayor is predominant weakens decision-making mechanisms and participation. As long as the system of “powerful mayor- weak council model” continues, a participatory democracy will remain merely as a dream. Although there are assessments that local administration councils “were tried to be strengthened” with post-2003 reforms (Arıkboğa; Oktay; Yılmaz, 2007: 23), conducted researches show that council is weak and is not effective in decision-making.

Appointing responsibilities to metropolitan municipalities within civil borders enhances the problems of effectiveness, productiveness and democracy. Increasing “authorities and resources” without supervision actions and functions will never promote local democracy. The matter of “custody”, which is central to the local administration- central administration relations, has got a different function in Turkey with the metropolitan regulations and it has “regionalized” in a sense. Custody over district municipalities was given to metropolitan municipalities. A significant portion of the custody mandate formerly owned and used by the central administration is now handed over to metropolitan municipalities. This has been a development restricting the autonomy of local administrations and must be abolished (Şarbak, 2015: 26). The principle of subsidiarity which is regarded as the basic principle for autonomy of local administrations has weakened as a result of this



development. Public services must be rendered by units and decision-making organs closest to the community.

## References

Arıkboğa, Erbay; Tarkan Oktay; Nail Yılmaz (2007), **Yeniden Yapılanma Sonrasında Belediye Meclisleri: İstanbul Örneği**, Beta Yayınları, İstanbul.

Azaklı, Sedat; Hüseyin Özgür (2005), “Belediye Organları ve Organlar Arası İlişkiler: Başkan, Meclis ve Encümen”, **Yerel Yönetimler Üzerine Güncel Yazılar-I**, Nobel Yayınevi, Ankara.  
Çukurçayır, M. Akif (2012), **Siyasal Katılma ve Yerel Demokrasi**, 4. Baskı, Çizgi Kitabevi, Konya.

Çukurçayır, M. Akif (2012), “Büyükşehir yasa tasarısı ne şekilde okunmalı?”, **Radikal Gazetesi**, 12.11.2012

Görmez, Kemal (2012), “Yerelleşme-Merkezileşme Geriliminde Büyükşehir Yasası”, **Zaman Gazetesi**, 18.11.2012

Keleş, Ruşen/Zerrin Toprak (2000), **21. Yüzyıla Girerken Türkiye’de Belediye Meclislerinde Siyaset**, Büyükşehir Belediyesi Yayını, İzmir.

Şarbak, Zekeriya (2015), “Demokratik ve Etkin Belediye Meclisleri”, **İller ve Belediyeler Dergisi**, Sayı: 803, Ankara.

TÜİK (2014), **Seçilmiş Göstergelerle Konya 2013**, Ankara

# Decomposition of Impact of Shocks on Individual Sectors: Case of the Czech Republic

*Ing. Kateřina Gawthorpe, University of Economics, Prague*

*Ing. Karel Šafr, University of Economics, Prague*

## ABSTRACT

In this paper, we analyze the importance of an inclusion of sectoral heterogeneity into the basic New Keynesian model to estimate the impacts of monetary policy and technology shocks on the Czech economy. We provide disaggregation of variables of the basic New Keynesian model as well as parameters to account for sectoral differences. The simulation of the model is based on the parameters estimated from input-output tables and national account data from the Czech Statistical Office. We find significant variations of the three sectors of interest namely: industrial, financial and the composition of other sectors in response to the technology shock and the interest rate shock of the Czech central bank. We conclude, that the industrial sector is the most sensitive to these shocks and provide detailed discussion of such results.

## 1. INTRODUCTION

The aim of this study is to reveal an effect of a technology but also a monetary policy shock on individual sectors of interest in the Czech Republic. Such a disaggregation should provide a model closer to real economy and help to describe relationship between variables of interest not only for the economy as the whole but also for its individual branches. The purpose of this research paper is not only to construct a model for various sectors and provide it with simulations for the case of the Czech Republic, but also to disclose which sectors are the most affected ones by the shocks.

To meet such a goal, we enlarge classical New Keynesian model as stated in Galí (2008) for new variables and decompose it to account for differences in various sectors. The model is therefore a dynamic stochastic general equilibrium model which exploits advantages of input-output models as well as data available for those models on the Czech statistical office website. Finally, we simulate the model in the program Dynare.

The main variables of interest susceptible to the shocks are input prices, inflation rate of output prices as well as outputs for the individual sectors in general. The sectors, which prices are most sensitive to various shocks or which output varies with interest rate shock the most, deserve more attention from the side of monetary policy makers.

The outline of the paper is as follows. At first, we summarize the preceding literature on this topic then we present the input-output model developed for this study. The following section explains used data for estimated parameters of the Czech economy. Finally, the results consist of discussion of the impact of technology and monetary shocks on individual sectors. Conclusion sum up the findings of this paper.

## 2. LITERATURE REVIEW

The main components of the model in this paper initiates in the book of Galí (2008); it reflects the New Keynesian (NKE) perspective. The variation of this model in the current research study encompasses other variables and parameters to allow analysis not only on the aggregate level but also for the three sectors of interest. Their incorporation still enables us to compute the New Keynesian Phillips curve but also modified Euler equation to envelop sectoral differences.

Different modifications of NKE are now the most common tools for simulations in central banks (such as Czech National Bank's model g3, see Ambriško et al, 2012) but also in governments such as the Ministry of Finance in the Czech Republic (see Aliyev, Bobková and Štork, 2014). In comparison to the model "Hubert" from the Ministry of Finance, there will be only two main building blocks, namely households and firms.

The wide use of New Keynesian models stems from their closer approximate of reality in relation to other types of models. NKE models take account for price rigidities in economy concluding about non-neutrality of money (see Calvo, 1983). While we introduce price rigidity, our model can be an easy subject to a modification to account for various rigidities in heterogeneous sectors. Next, we assemble a New Keynesian Phillips Curve (see McCandless(2008)) for the case of three dissimilar sectors of production; if one finds differentiated size for the price rigidity parameter, the incorporation of its value would reveal its impact from the side of monetary or technology shock.

Influential papers, which also use data from input-output tables to estimate variations of the NKE model are Bouakez et al (2005, 2009). In accordance with the suggestions in their study, we introduce a new variable, which stands for produced goods from particular sectors and used as inputs in others. This variable will also be a constant-elasticity-of-substitution aggregate identical to the Dixit-Stiglitz (1977) aggregate commonly used for consumption bundle. Next, the papers of Bouakez emphasize the importance of an inclusion of multiple sectors into the model especially for monetary shocks, where they view price rigidity as the chief factor in explaining heterogeneity in sectoral responses to inflation shock. According to Nakamura and Steinsson (2008) the heterogeneity in price changes triples the non-neutrality of money in the model but also the introduction of intermediate inputs, which will be also present in our model. Bouakez et al (2005, 2009) find a significant variation in the sectors in response to the monetary policy shock, which is in accordance with other empirical papers (e.g., Barth and Ramey, 2001, Dedola and Lippi, 2003 and Peersman and Smets, 2005).

The presented model also enables to study sectoral productivity shocks and their impact on heterogeneous input prices as well as inflation of the prices for the final products. Bouakez et al (2009) discovers importance of these shocks for price changes in line with the study of Boivin, Giannoni and Mihov (2007), and Mackowiak, Moench and Wiederholt (2008), which apply statistical factor models. However, the main interest of our paper is to question the output and price variation in the face of technology shocks and productivity differences as a consequence of monetary policy shock. Jin and Zeng (2004) also construct three-sector DSGE model to question the strength of interest rate for price level changes, in their model they focus on house prices.

Very close model to our interest is the study of Šafr, Vltavská and Zouhar (2014) as well as Bisova, Javorska, Vltavska and Zouhar (2013), which develop a DSGE model incorporating data from input-output tables for the Czech Republic. In contrast to the presented paper, they construct a real business cycle model without monetary policy and mostly use the data to see the impact of labor productivity shock into the production functions. The model developed for the purpose of this study will rather question the impact of both monetary policy and technology shocks for the case of the Czech Republic.

The Czech Republic represents a good illustrational case for our model. With input-output tables "SIOT" freely available on the website of the Czech Statistical Office for every five years since 1990, we can find all necessary data for the calculation of significant parameters of interest. A research of importance of monetary and technology shocks for sectoral differences could create an opportunity for an embracement of the current aggregate models used by Czech government and central bank. The final question asked in this paper, is the degree for which an inclusion of heterogeneous sectors appears significant for the study of the effects of the two shocks.

### 3. THE INPUT - OUTPUT MODEL

#### 3.1. HOUSEHOLDS

Dynamic expression of the model dealing with an optimization problem specifies the individual as such choosing a time path over consumption and labor supply. The model assumes a continuum of identical and infinitely - lived households. The preferences of individuals is given by the infinite stream of utility in the following form:

$$(1) \quad W_t = E_0 \sum_{t=0}^{\infty} \beta^t u(C_t, N_t)$$

where  $0 < \beta < 1$  is a subjective intertemporal discount factor and beta equals  $\frac{1}{1 + \Omega}$ , where omega represents a subjective rate of time preference.

Each agent in this model chooses the composition of a basket of heterogeneous final goods. The CES as presented in Dixit and Stiglitz (1977) as well as in Galí (2008) is as follows: Equation 2:

$$(2) \quad C_t = \left[ \sum_{i=1}^N \epsilon^i C_t^{i \frac{\delta-1}{\delta}} \right]^{\frac{\delta}{\delta-1}}$$

where  $C_t$  represents an aggregate consumption index of all the differentiated final goods produced in the economy and  $\epsilon^i \in [0,1]$  are aggregation weights  $\sum_{i=1}^N \epsilon^i = 1$ . This index consists of  $i$ -th varieties of final goods. Parameter  $\delta$  stands for elasticity of substitution between different final goods.

The aggregate budget constraint for the whole economy takes the following form:

$$(3) \quad P_t C_t + M_t + Q_t B_t \leq B_{t-1} + W_t N_t + M_{t-1}$$

The description of the variables in the budget constraint of the representative agent is following:

- $C_t$  stands for the aggregate consumption index.
- $P_t$  is an aggregate price index

$$(4) \quad P_t = \left[ \sum_{i=1}^N (\epsilon^i)^\delta p_t^{i 1-\delta} \right]^{\frac{1}{1-\delta}}$$

$p_t^i$  is the price of the good  $i$ . The total consumption expenditure equals the product of the price index times the quantity index:

$$(5) \quad \sum_{i=1}^N P_t^i C_t^i = P_t C_t$$

$M_t$  represents the amount of wealth kept in money.  $B_t$  denotes purchases of one period bonds multiplied by their price.  $W_t$  is the nominal wage and  $N_t$  describes the amount of labor supply.

### 5.1 LABOR MARKET

Sectoral differences lead to diversity also on the labor market. The following index describes the heterogeneity in the labor supply

$$(6) \quad N_t = \left[ \sum_{i=1}^N \xi^j N_t^{j \frac{\kappa-1}{\kappa}} \right]^{\frac{\kappa}{\kappa-1}}$$

We also assume differences in wages across sectors:

$$(7) \quad W_t = \left[ \sum_{i=1}^N (\xi^j)^\kappa W_t^{j 1-\kappa} \right]^{\frac{1}{1-\kappa}}$$

$$(8) \quad \sum_{i=1}^N W_t^j N_t^j = W_t N_t$$

From these relations, we derive demand for labor in an individual sector as:

$$(9) \quad N_t^j = (\xi^j)^\kappa \left( \frac{W_t^j}{W_t} \right)^{-\kappa} N_t$$

In the next part we use these assumptions to derive first order conditions from the optimization problem of households.

### 3.3 RESULTS OF FOCS

Assuming the common utility function separable in consumption and labor:

$$(10) \quad U(C_t, N_t) = \frac{C_t^{1-\sigma}}{1-\sigma} - \frac{N_t^{1+\varphi}}{1+\varphi}$$

where the parameters sigma and phi illustrate particular elasticity of substitution.

The optimality conditions from the optimization problem maximizing the utility function with respect to the budget constraint provides us the classical Euler equation

$$(11) \quad \beta E_t \left( \frac{U_{c,t+1} P_t}{U_{c,t} P_{t+1}} \right) = Q_t$$

Log-linearized version takes into account the sparable utility function (10):

$$c_t = E_t(c_{t+1}) - \frac{1}{\sigma}(i_t - E_t\{\pi_{t+1}\} - \rho)$$

Finally, the resulting labor supply decision:

$$(12) \quad -\frac{U_{n,t}}{U_{c,t}} = \frac{W_t}{P_t}$$

Log-linearized version considering the form of utility function results in:

$$w_t = \sigma c_t + \varphi n_t$$

where  $w_t$  stands for real wage.

Real money demand equation is supplied ad-hoc from the Galí (2008):

$$(13) \quad md_t = y_t - \eta i_t$$

All these equations stay alike the NKE version in their aggregate version. Their decomposition to count for different sector will take place after the description of the firm sector.

### 3.4 FIRMS

Assume a continuum of firms indexed by  $i \in [0,1]$  producing differentiated good and applying identical technology illustrated by the production function in real terms:

$$(14) \quad Y_t^j(i) = (A_t L_t(i))^{\alpha^j} M_t^j(i)^{1-\alpha^j}$$

where  $j$  denotes the sector in which the particular firm  $i$  produces its output.  $A_t$  stands for the level of technology exogenously evolving over time, it stays same for all firms in all sectors. Labor demand  $L_t$  appears identical for all sectors. The variable  $M_t$  illustrates material inputs flowing into the sector  $j$ :

$$(15) \quad M_t^j = \left( \sum_{i=1}^N \chi_{ji} (M_{i,t}^j)^{\frac{\theta-1}{\theta}} \right)^{\frac{\theta}{\theta-1}}$$



$$\sum_{i=1}^N \chi_{ij} = 1$$

This composite index displays the way in which material inputs are combined in the sector  $j$ . It assimilates the consumption index with a difference of a new parameter “chi”. This parameter stands for weight the input receives in the sector  $j$ .

The price of the composite good  $M_t^j$  is:

$$(16) \quad H_t^{Mj} = \left( \sum_{i=1}^N (\chi_{ji})^\theta (H_t^j)^{1-\theta} \right)^{\frac{1}{1-\theta}}$$

which appears identical to the study of Boukazez et al (2005, p.6).

Input demand equation follows the same procedure as Galí (2008), with its use we construct demand for consumption good as:

$$(17) \quad M_{i,t}^j = (\chi_{ji})^\theta \left( \frac{H_{i,t}^j}{H_t^M} \right)^{-\theta} M_t^i$$

For this demand the following relation holds:

$$(18) \quad \sum_{i=1}^N H_{i,t}^j M_{i,t}^j = H_t^{Mj} M_t^i$$

Individual firms face an identical isoelastic demand schedule, which follows McCandless (2008, p. 262) alike Galí (2008, p. 42):

$$(19) \quad C_{t+k}^j(i) = \left( \frac{P_{t+k}^j}{P_t^*(i)} \right)^\psi C_{t+k}^j$$

In this model the demand for the good in the sector  $j$  in terms of  $Y_t$  is defined as:

$$(19) \quad Y_t^j = C_t^j + \sum_{i=1}^N M_{j,t}^i$$

where the second term on the right hand side is a sum of all inputs produced by sector  $j$  and demanded by sector  $i$ . Then

$$(20) \quad Y_{t+k}^j(i) = \left( \frac{P_{t+k}^j}{P_t^*(i)} \right)^\psi C_{t+k}^j + \sum_{i=1}^N M_{jt}^i$$

It defines the demand for the good of the firm  $i$  in the sector  $j$  in time  $t+k$ .

This model also assumes monopolistic competition and staggered price setting where only a fraction of  $1 - \rho$  of firms can reset their price optimally at time  $t$ , while the rest of them sticks prices to lagged inflation.

The next part of this study describes price - setting behavior for a firm. We assume that the decision process has two stages. Since the firm, which is maximizing its profit is simultaneously minimizing its total costs, at first, real cost minimization problem will take place. This procedure is in accordance with the study of McCandless (2008).

### 3.4.1 COST MINIMIZATION PROBLEM

The only inputs are labor and material inputs; we define the real total cost function for the firm  $i$  in the sector  $j$  in time  $t$  as:

$$(21) \quad TC_t^j(i) = W_t^j N_t^j + H_t^j(i) M_t^j(i)$$

Minimizing the total costs with respect to the production function (see equation (15)) provides us with the following optimal demands.

Material inputs demand for the overall sector  $j$ :

$$(22) \quad M_t^{j*}(i) = \left( \frac{H_t^j(i)}{W_t} A_t^j \frac{\alpha^j}{1-\alpha^j} \right)^{-\alpha^j} Y_t^j(i)$$

Labor demand:

$$(23) \quad N_t^*(i) = Y_t^j(i) (A_t^j)^{-\alpha^j} \left( \frac{1-\alpha^j}{\alpha^j} \frac{W_t}{H_t^j(i)} \right)^{\alpha^j-1}$$

From the last two equations one can easily compute marginal cost function.

To disaggregate this problem for demands for individual inputs in the sector instead of the total demand for input in sector  $j$ , one can rewrite the total cost function as:

$$(24) \quad TC_t^j(i) = W_t^j N_t^j + \sum_{i=1}^N H_{i,t}^j M_{i,t}^j$$

with respect to the production function but also to the material input index (15).

Then the individual input demand in relation to the labor demand for an individual sector gives the following expression:

$$(25) \quad \frac{H_{it}^j}{W_t^j} = \frac{1-\alpha^j}{\alpha^j} \frac{N_t^{j2}}{M_t^{j2}} \chi_{ji} \xi^j M_{i,t}^j \frac{1}{\theta} N_t^{j\frac{1}{\theta}}$$

This equation also shows the optimal ratio between input price and wages given the optimal size of labor and material input demand.

### 3.4.2 OPTIMAL PRICE SETTING

A firm  $i$  from the sector  $j$  reoptimizing in period  $t$  selects the price  $P_t^{j*}(i)$  that maximizes the market value of the profits while that price remains effective. The firm solves profit maximization problem of the form:

$$\max \sum_{k=0}^{\infty} (\beta \rho)^k E_t \{ P_t^{j*}(i) Y_{t+k}^j(i) - P_{t+k}^j MC_{t+k}^j Y_{t+k}^j(i) \}$$

$MC_{t+k}^j$  stands for marginal costs, which are identical for all firms in the sector  $j$ . An inclusion of the above expression for the marginal costs along with the demand for firm's  $i$  good in the sector  $j$  then with a help of simple mathematical operations results in the optimal price setting by the firm  $i$  in time period  $t$

$$(26) \quad P_t^{j*}(i) = \frac{\psi}{\psi-1} \frac{E_t \sum_{k=0}^{\infty} P_{t+k}^j (Y_{t+k}^j(i) - \sum_{i=1}^N m_{t+k}^i) \frac{H_{t+k}^j}{1-\alpha^j} \left( \frac{w_{t+k}(1-\alpha^j)}{H_{t+k}^j \alpha^j A_t^j} \right)^{\alpha^j}}{E_t \sum_{k=0}^{\infty} (\beta \rho)^k Y_{t+k}^j(i)}$$

where  $\frac{\psi}{\psi-1} > 1$  represents the gross markup of the firm's price over the ratio of the discounted stream of nominal total costs divided by the discounted stream of real output. Log-linearization of this term results in the traditional New Keynesian Phillips curve modified for sectoral variances as:

$$(27) \quad \pi_t^j = \beta E_t \pi_{t+1}^j + \frac{(1-\rho^j)(1-\beta^j \rho^j)}{\rho^j} [(1-\alpha^j) h_t^j + \alpha^j w_t - \alpha^j a_t^j]$$

Small letters reflect their log-linearized value. This equation is the first famous New Keynesian equation.

The second famous New Keynesian equation adjusted to incorporate heterogeneous sectors initiates in the Euler equation derived in the Household optimization problem:

$$(28) \quad c_t = E_t(c_{t+1}) - \frac{1}{\sigma} (i_t - E_t\{\pi_{t+1}\} - r_t^n)$$

Euler equation in combination with the total demand function:

$$(29) \quad y_t = m_t + E_t(y_{t+1}) - E_t(m_{t+1}) - \frac{1}{\sigma} (i_t - E_t\{\pi_{t+1}\} - \rho)$$

where the  $r_t^n$  is the natural rate of interest

To compute the relation for the  $r_t^n$ , we follow the classical procedure such as in Galí (2008): From the Euler equation, one can see

$$r_t^n = \rho + \sigma E_t(\Delta y_{t+1}^n)$$

Maximization of the profit in real terms with respect to labor and output (see Galí, 2008, p. 19) in combination with the first order condition, demand for the product and production function, the resulting equation is

$$(30) \quad r_t^n = \rho + \sigma \psi_{ya} E_t(\Delta a_{t+1}) + \sigma \psi_{ym} E_t(\Delta m_{t+1}^j)$$

where

$$\psi_{ya} = \frac{\alpha(\alpha - \sigma\alpha)}{\sigma\alpha + \varphi + (1-\alpha)} + \alpha$$

$$\psi_{ym} = \frac{\alpha(1-\alpha - \sigma(1-\alpha) + \sigma)}{\sigma\alpha + \varphi + (1-\alpha)} + (1-\alpha)$$

In the next part, we state the monetary policy rule.

### 3.5 MONETARY POLICY

Central institution in charge of monetary policy follows the famous modified version of the Taylor rule in the following form:

$$(31) \quad i_t = \rho + \phi_\pi \pi_t + \phi_y y_t + v_t$$

The central institution targets zero inflation rate.

### 3.6 SHOCKS

#### 1. Monetary policy shock

We assume that the exogenous component of the interest rate  $v_t$  follows an AR(1) process:

$$(32) \quad v_t = \rho_v v_{t-1} + e_t^v$$

where  $\rho_v \in (0,1)$  and  $e_t^v$  is a zero mean white noise process.

An expansionary monetary policy is connected with a negative realization of  $e_v$ .

Technology shock:

$$(33) \quad a_t^j = \rho_a^j a_{t-1}^j + e_t^a$$

where  $\rho_a \in (0,1)$  and  $e_t^a$  is a zero mean white noise process.

The technology parameter is assumed to follow an AR(1) process.

### 3.7 EQUILIBRIUM - IMPORTANT EQUATIONS FOR SIMULATION

Labor Market equations:

$$(6) \quad N_t = \left[ \sum_{i=1}^N \xi^j N_t^j \right]^{\frac{\kappa}{\kappa-1}}$$

$$(9) \quad N_t^j = (\xi^j)^\kappa \left( \frac{w_t^j}{w_t} \right)^{-\kappa} N_t$$

Material inputs equations:

$$(15) \quad M_t^j = \left( \sum_{i=1}^N \chi_{ji} (M_{i,t}^j)^{\frac{\theta-1}{\theta}} \right)^{\frac{\theta}{\theta-1}}$$

$$(17) \quad M_{jt}^i = (\chi_{ji})^\theta \left( \frac{H_t^j}{H_t^M} \right)^{-\theta} M_t^i$$

$$M_t = \sum_{j=1}^N M_t^j$$

$$(16) \quad H_t^{Mj} = \left( \sum_{i=1}^N (\chi_{ji})^\theta (H_t^j)^{1-\theta} \right)^{\frac{1}{1-\theta}}$$

Aggregate price level for inputs:

$$H_t = \sum_{j=1}^N H_t^j / N$$

Equations derived from cost minimization problem:

$$(25) \quad \frac{H_{it}^j}{w_t^j} = \frac{1-\alpha^j}{\alpha^j} \frac{N_t^{j2}}{M_t^{j2}} \chi_{ji} \xi^j M_{i,t}^j \frac{1}{\theta} N_t^j \frac{1}{\kappa}$$

$$(23) \quad N_t^{j*}(i) = Y_t^j(i) (A_t^j)^{-\alpha^j} \left( \frac{1-\alpha^j}{\alpha^j} \frac{w_t^j}{H_t^j(i)} \right)^{\alpha^j-1}$$

Log-linearized production function:

$$(14) \quad y_t^j = \alpha^j a_t^j + \alpha^j n_t^j + (1 - \alpha^j) m_t^j$$

$$(23+14) \quad y_t^j = \frac{1}{1-\alpha} (-\alpha^{j2} a_t^j + (1 - \alpha^j) \alpha^j h_t^j - (1 - \alpha^j) \alpha^j w_t^j + \alpha^j a_t^j + (1 - \alpha^j) m_t^j)$$

Euler equation in combination with the total demand function gives the following equation for the output gap:

$$(29) \quad y_t = m_t + E_t(y_{t+1}) - E_t(m_{t+1}) - \frac{1}{\sigma} (i_t - E_t\{\pi_{t+1}\} - r_t^n)$$

$$(30) \quad r_t^n = \rho + \sigma \psi_{ya} E_t(\Delta a_{t+1}) + \sigma \psi_{ym} E_t(\Delta m_{t+1}^j)$$

where

$$\begin{aligned} \psi_{ya} &= \frac{\alpha(\alpha - \sigma\alpha)}{\sigma\alpha + \varphi + (1 - \alpha)} + \alpha \\ \psi_{ym} &= \frac{\alpha(1 - \alpha - \sigma(1 - \alpha) + \sigma)}{\sigma\alpha + \varphi + (1 - \alpha)} + (1 - \alpha) \end{aligned}$$

New Keynesian Phillips curve:

$$(27) \quad \begin{aligned} \pi_t^j &= \beta E_t \pi_{t+1}^j + \frac{(1-\rho)(1-\beta\rho)}{\rho} [(1 - \alpha) h_t^j + \alpha w_t - \alpha a_t] \\ \Pi_t &= \sum_{j=1}^N \Pi_t^j / N \end{aligned}$$

Money Demand equation:

$$(13) \quad md_t = y_t - \eta i_t$$

Taylor rule:

$$(31) \quad i_t = \rho + \phi_\pi \pi_t + \phi_y y_t + v_t$$

Individual shocks:

$$(32) \quad v_t = \rho_v v_{t-1} + e_t^v$$

$$(33) \quad a_t^j = \rho_a^j a_{t-1}^j + e_t^a$$

## 4 ESTIMATIONS OF THE MODEL

### 3.2 DATA ANALYSIS

The estimated model is based on sectoral and aggregate data from the Czech Statistical office at yearly frequency. While our model allows any level of disaggregation, we provide disintegration into the three main sectors. It consists of industrial sector, financial and composition of the remaining sectors.

The indexes for these sectors are 1, 2 and 3 respectively. Data for these sectors come from the Czech Statistical Office. The first sector incorporates production of commodities marked by the CZ-



CPA 05-33, including outputs such as metal products, furniture, textile, food or machines. Financial sector consists of financial services, insurance and complementary financial services indicated by the CZ-CPA 64-66. The third sector is then the composition of all other firms producing other output than the previous sectors.

We present the values of individual parameters in the table 1 in the Appendix. These parameters are for the Asymmetric Input-Output model. The estimation of the symmetric version of the model is based on the average of the parameters for individual sectors or on the aggregate sectoral parameter if available. The rest of the parameters for both models appear alike. Individual indexes reflect the industrial, the financial and the composition of others sectors respectively.

The estimation of the “input-output” parameters is based on the data from Input-Output tables released from the Czech Statistical Office. The Czech Statistical Office releases the data with five-year period. We estimate the parameters for the year 2010. Parameter Zeta denominating the sensitivity of demand for labor to wage variable is assumed to be identical to theta representing the sensitivity of demand for an input from other sector to its price. In the same respect, zeta1, zeta2 and zeta3 are identical to parameters xi1, xi2 and xi3.

Parameters “alpha”, “alpha1”, “alpha2” and “alpha3”, which stand for the share of individual inputs in the production function are estimated with a use of time series based on the National Account data of the Czech Statistical Office between the years 2000 and 2014. We use annual data when available; otherwise, quarterly data are aggregated into annual ones. To obtain these parameters, we estimate the production function for individual sectors.

Parameters “rho\_a”, “rho\_a1”, “rho\_a2” and “rho\_a3” standing for the persistence of technology shock for the entire economy and individual sectors respectively, are estimated as autoregression function for technology variable. We use again the National Account data of the Czech Statistical Office between the years 2000 and 2014.

The estimation of the individual “beta” parameters originates in the New Keynesian Phillips curve, where we estimate it based on the National Account data of the Czech Statistical Office between the years 2005 and 2014. Unfortunately, we were not able to obtain longer time series. Parameter “ro” is then calculated as minus logarithm of beta.

The estimation of the prior-mentioned parameters based on the regressions exhibits problems of autocorrelation and multicollinearity. We control for this problem with a use of robust estimates and by an inclusion of lagged outcome variables.

Parameters, which do not reflect sectoral differences, are in accordance with the New Keynesian model in the book of Galí (2008). Namely, parameters „sigma“, „phi“, „epsilon“, „eta“ and „rho\_v“ originate in the Galí (2008) textbook. The composite parameters such as kappa include parameters based on our data as well as values of Galí’s parameters. We overtake the final sectoral parameter “theta” from the paper on Input-Output model of Šafr, Vltavská and Zouhar (2014).

Variables of interest include aggregate output gap “y”, products derived from production functions of individual sectors “y1”, “y2” and “y3”. Variables “m1”, “m2” and “m3”, which denote sectoral input demands. Next variables are “m11”, “m12”, “m13”, “m21”, “m22”, “m23”, “m31”, “m32” and “m33” symbolizing the flow from the sector denominated by the first index into the sector of the second index.

Another set of variables “h1”, “h2” and “h3” denominates prices of these inputs and “w1”, “w2” and “w3” represent sectoral wages. Individual indexes denote the industrial, the financial and the other sectors respectively. Variable “pi\_ann” displays yearly inflation rate with indexes pertaining to individual sectors, “i\_ann” denotes yearly nominal interest rate and finally “v” represents the size of the monetary policy shock. In the end, variables with the first letter “n” belong to the labor demanded by the sector indicated by the index next to the letter.

## 5 RESULTS

The results of the study are presented on the Graph 1 in the Appendix. We display technology and monetary policy shocks for the Asymmetric Input-Output Model and the Symmetric Input-Output Model together. The blue-dashed line demonstrates symmetric version of the model and the black line demonstrates the asymmetric version.

### 5.1 TECHNOLOGY SHOCK

The first graph displays the dynamic responses to a one percent increase in the technology. The directions of the effects of the shocks assimilate those of basic New Keynesian model displayed in the third Chapter of Galí (2008). Also in this model, favorable technology shock has a negative effect on the output gap responsible for negative inflation rate. Central bank reacts by reducing interest rate, this response leads to gradual raise of inflation rate.

Such as other studies suggest (for example see Bordo, Lane & Redish (2004)), positive technology shock has a benign effect on product prices as well as products of individual sectors. Central bank reacts to the deflation by reducing nominal interest rate, which also triggers growth in the outcome. By other words, deflationary effect on prices rise along with improved productivity overall production of these sectors. The total flow of inputs between sectors decreases as the firms need to hire less but more productive inputs.

The productivity of industrial sector in the Czech Republic increases the most relatively to other studied sectors. One can derive from the “rho\_a1” parameter, that the product of this sector is the most sensitive one to the technology shock. Given the higher productivity, the firms in this sector reduce the demand for labor as well as for inputs from other sectors. Next, the technology shock results in the highest reduction of output prices depicted by inflation rate relatively to other sectors. Decomposing the sectoral flows shows a reduction in input demand from first sector for inputs from the third and second sector as well.

Finally, looking at the curves for input prices, labor and input demands show a relative stickiness of prices, their return to the prior steady state is rather sluggish. The rigidity of wages correspond to other studies, which argue for existence of implicit contracts on the labor market (Azariadis & Stiglitz (1983).), efficiency wage theory (Akerlof & Yellen (1986)) or insider-outsider theory (Lindbeck & Snower (1988)), which represent a burden to flexible adjustment of these demands and prices to shocks. For nominal rigidities see Romer (2012).

On the other hand, the financial sector requires more inputs from industrial sector but less from the composition of other sectors. This increase in input demand from the first sector can be explained by lower level of impact of technology shock on the productivity in this sector. It then cannot respond to a small level of increased productivity by absolute lowering of input demands. One can also see from the graphs, that the labor demand is reduced the least for this sector, such dynamic is also valid for other inputs. In the end, the deflationary tendencies of labor and input prices in this sector are the least affected ones from all sectors. Overall, the financial sector is less affected by the technology shock than the industrial one.

Also the dynamics of these price and input curves reflects their relative stickiness originating in the Calvo-pricing mechanism introduced into the model.

The output of the symmetric version of the model rises rather less and stays higher for longer period of time in respect to the output of the asymmetric version. The symmetric version also displays the longer persistence of the inflation rate change. Neglecting asymmetry in the multi-sector model can thus result in the underestimation of the technology shock estimated for the Czech economy. The dynamics of asymmetric version significantly diverges from the symmetric one and thus proves our hypothesis about necessity of the decomposition of the model for multiple sectors as well as the introduction of different parameters estimated for particular sectors in the economy.

## 5.2 MONETARY POLICY SHOCK

Monetary policy shock leading the interest rates to rise presented in the Graph 2 has a negative effect on outputs of individual sectors. In aggregate, the restrictionary monetary policy shock takes the form of positive realization of  $e_t^p$  of size 0.25. The size of the shock assimilates the one from Galí (2008, p. 57), who analyzes the monetary policy shock into the money growth. In correspondence to his results, we find negative effect of the shock on inflation rate and output.

At first, the shock leads to the growth of nominal interest rate reducing expected inflation. Following Fisher equation, this causes rise of real interest rate. Higher prices of loans incentivize individual sectors to decrease demand for credit. Overall, the outcome drops along with decrease of demands from different sectors and labor demand. Graph 2 follows this pattern.

The industrial sector displays negative impact of the monetary policy shock. The industrial sector is particularly sensitive to the rises of prices of loans, which could explain its stronger vulnerability to the increases of interest rate in response to this monetary policy shock.

Following the effect of the shock, this sector reduces its demand for labor and other inputs more than the financial sector. Analyzing the price changes in response to the shock, one can notice inflation rate to display the most significant drop after the third sector followed by wages and finally, material input prices decrease the least from all prices. It can be deduced that the output prices calculated in the inflation rate reduces more than the input prices. The lower profit of a firm as the revenue dropped under the value of the costs leads the firm to slow down production.

Other sectors follow similar pattern, where the financial sector exhibits the lowest negative sensitivity to this shock. There is a mixed effect of this shock on financial sector consisting of banks as well as other financial institutions. Rises of interest rates by central banks mean higher revenue on overnight deposits of commercial banks as well as higher profits from sold loans for these banks. On the other hand, the reduction of demand for firms' outputs along with their downsizing in production result in lower demand for the banks' loans. In sum, while the price of loans increases, the quantity of sold loans might decrease, as firms cannot afford to invest more nor expand. In the case presented here, we diagnose negative effect of such monetary disturbance on financial institutions. This intuition is also vivid in the graph analyzing the individual input-output flows. The most significant drops are for the flows from the second and third sectors. By other words, loans and inputs from other sectors are demanded the least.

The graph 1 and 2 suggest different evolution of individual variables for symmetric and asymmetric versions of the models in response to technology and monetary policy shocks. The outcome variables display same signs in response to the shocks but the variables follow a different pattern. The dissimilar dynamics of individual curves for the two versions is especially apparent for the technology shock. Following monetary policy shocks, the individual curves evolve more alike. Finally, although in aggregate the impulse response function assimilate the behavior of the basic New Keynesian model as presented by Galí (2008), the asymmetric version of the model allows scientists to decompose the effect of shocks for individual sectors, which helps to obtain higher understanding of the evolution of economy facing such disturbances.

## 6 CONCLUSION

This study presents disaggregated multi-sector DSGE model for the Czech economy. We argue that the decomposition of aggregate economy is crucial for correct evaluation of the dynamics of aggregate and individual variables in response to shocks in this economy. Introduction of three sectors into the basic New-Keynesian model allows us to study monetary policy and technology shock closer to the reality, which provides different data for individual sectors. The choice of New-Keynesian model corresponds to the Czech Central bank and Ministry of finance models also based on the New Keynesian framework which accounts for price rigidities and introduces consumption bundle as a composite index.

To be able to find resulting evolution of variables of interest, we disaggregate individual variables and parameters in the New-Keynesian model. The data from the Input-Output tables as well as the National accounts of the Czech Statistical Office provide us with data for estimation of particular sectoral parameters, which are necessary to deliver appropriate simulations of the model for the Czech economy.

The signs of our resulting impulse response functions correspond to the basic New Keynesian model of Galí (2008). Technology shock results in higher productivity favoring the industrial sector the most relatively to other sectors. This shock leads to deflationary tendencies for input as well as output prices. The rise of productivity of individual sectors provides an incentive to reduce demands for inputs from other sectors, which reduces the costs for the firms.

Also the output of the industrial sector finds to be more sensitive one than the financial sector to the monetary policy shock. Following our intuition, higher interest rate reduces demand for loans. Disaggregation of the demands of this sector shows that the demand for financial assets for this sector drops. More expansive credit leads industrial sector to downscale its production along with a decrease of demands for inputs from other sectors. The outcome of the financial sector reduces the least as this sector profits from higher overnight deposits on the account of central bank while suffering from lower demand for loans.

In conclusion, we find a support for our hypothesis about significance of decomposition of individual variables to account for sectoral differences. Further researches focusing on analyzing Czech economy should incorporate these findings. Longer time series could provide a researcher with another

tool to analyze the correctness of our result. Next, simulations of the model of Czech National Bank accounting for multiple sectors or the model of Ministry of Finance, which are developed to fit the appearance of this small open economy better, could help to support the robustness of our conclusion.

This work was supported by the University of Economics, Prague, Faculty of Informatics and Statistics in collaboration with the Faculty of Business Administration under the Grant *IGA IG404035*.

## REFERENCES

- Akerlof, G. A., & Yellen, J. L. (Eds.). (1986). *Efficiency wage models of the labor market*. Cambridge [Cambridgeshire] ; New York: Cambridge University Press.
- Aliyev, I., & Bobková, B. (2014). Extended DSGE model of the Czech economy.
- Ambriško, R., Babecký, J., Ryšánek, J., & Valenta, V. (2015). Assessing the impact of fiscal measures on the Czech economy. *Economic Modelling*, 44, 350–357.
- Azariadis, C., & Stiglitz, J. E. (1983). Implicit contracts and fixed price equilibria. *The Quarterly Journal of Economics*, 2-22.
- Barth III, M. J., & Ramey, V. A. (2002). The cost channel of monetary transmission. In *NBER Macroeconomics Annual 2001, Volume 16* (pp. 199–256). MIT Press.
- Bisová, S., Javorská, E., Vltavská, K., & Zouhar, J. (2013). Input-output interactions in a DSGE framework. *Conference Paper*.
- Boivin, J., Giannoni, M., & Mihov, I. (2007). *Sticky prices and monetary policy: Evidence from disaggregated US data*. National Bureau of Economic Research.
- Bordo, M. D., Lane, J. L., & Redish, A. (2004). *Good versus bad deflation: lessons from the gold standard era* (No. w10329). National Bureau of Economic Research.
- Bouakez, H., Cardia, E., & Ruge-Murcia, F. J. (2009). Sectoral price rigidity and aggregate dynamics.
- Bouakez, H., Cardia, E., & Ruge-Murcia, F. J. (2009). THE TRANSMISSION OF MONETARY POLICY IN A MULTISECTOR ECONOMY\*. *International Economic Review*, 50(4), 1243–1266.
- Calvo, G. A. (1983). Staggered prices in a utility-maximizing framework. *Journal of Monetary Economics*, 12(3), 383–398.
- Dedola, L., & Lippi, F. (2005). The monetary transmission mechanism: evidence from the industries of five OECD countries. *European Economic Review*, 49(6), 1543–1569.
- Dixit, A. K., & Stiglitz, J. E. (1977). Monopolistic competition and optimum product diversity. *The American Economic Review*, 297–308.
- Galí, J. (2009). *Monetary Policy, inflation, and the Business Cycle: An introduction to the new Keynesian Framework*. Princeton University Press.
- Jin, Y., & Zeng, Z. (2004). Residential investment and house prices in a multi-sector monetary business cycle model. *Journal of Housing Economics*, 13(4), 268–286.

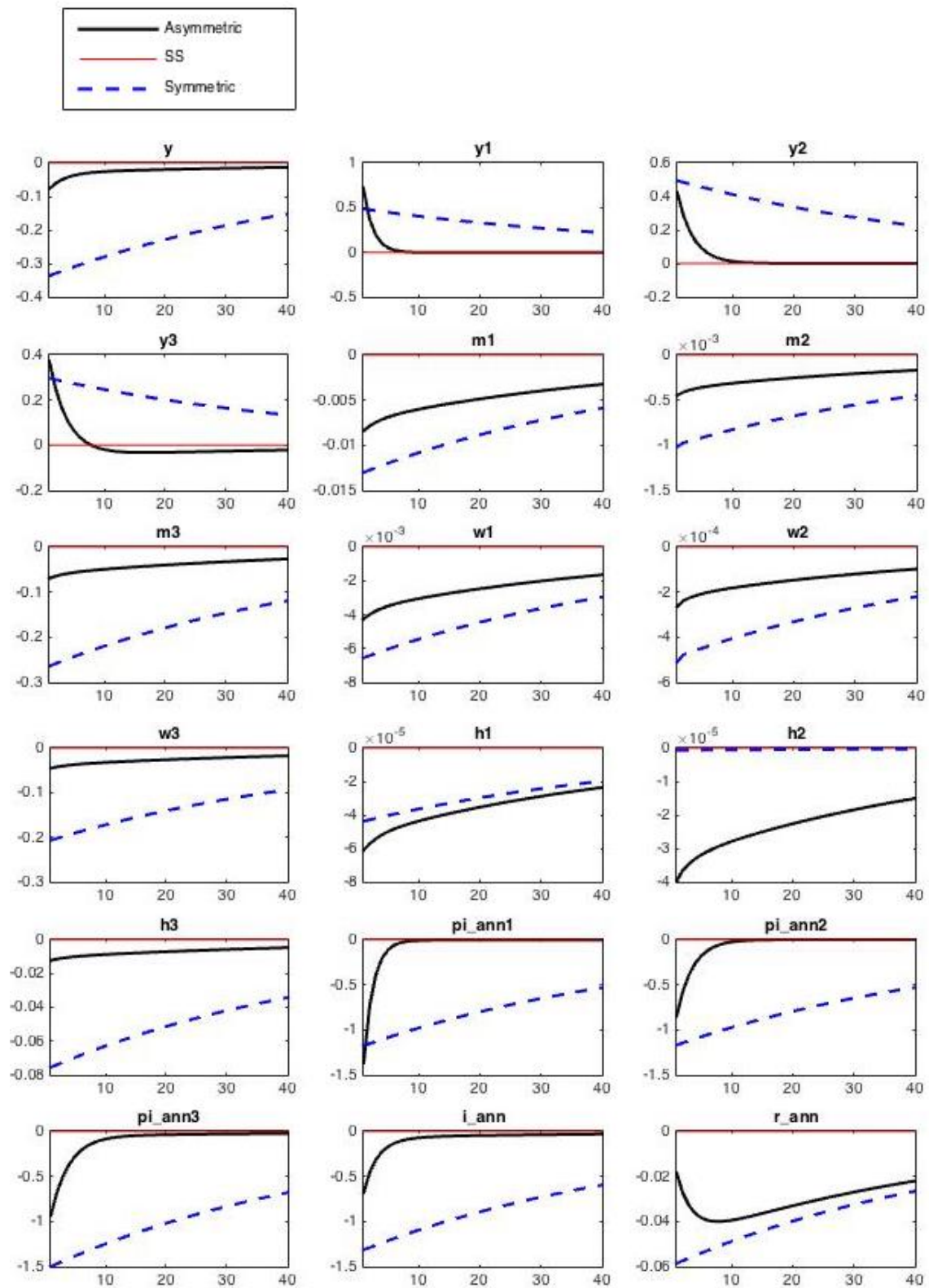


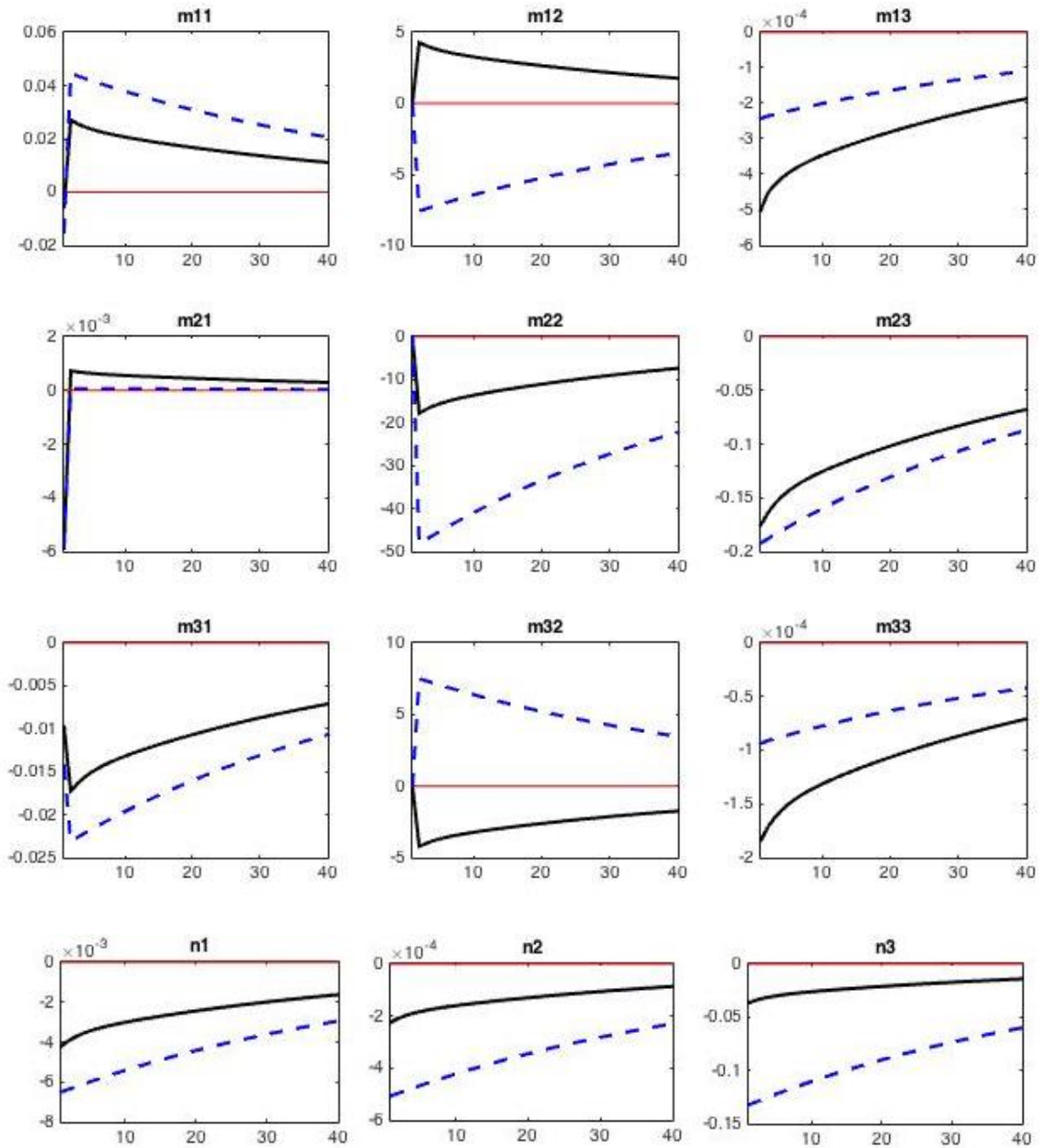
- Lindbeck, A., & Snower, D. (1988). The insider-outsider theory of employment. *Unemployment. Cambridge (Mass.)*
- Maćkowiak, B., Moench, E., & Wiederholt, M. (2009). Sectoral price data and models of price setting. *Journal of Monetary Economics*, 56, S78–S99.
- McCandless, G. T. (2008). *The ABCs of RBCs: an introduction to dynamic macroeconomic models*. Cambridge, MA: Harvard University Pres.
- Nakamura, E., & Steinsson, J. (2008). *Monetary non-neutrality in a multi-sector menu cost model*. National Bureau of Economic Research.
- Peersman, G., & Smets, F. (2005). The Industry Effects of Monetary Policy in the Euro Area\*. *The Economic Journal*, 115(503), 319–342.
- Romer, D. (2012). *Advanced macroeconomics* (4th ed). New York: McGraw-Hill/Irwin.
- Šafr, K., Vltavská, K., & Zouhar, J. (2014). *The Influence of Customer Preferences on the Multi-sector DSGE Model* (Working Paper). University of Economics in Prague, Faculty of Informatics and Statistics.

APPENDIX  
Table 1:

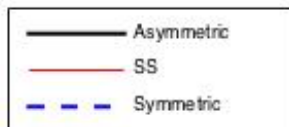
Parameter	Estimate
<b>alpha</b>	0.4948
<b>alpha1</b>	0.725
<b>alpha2</b>	0.4226
<b>alpha3</b>	0.4271
<b>beta</b>	0.367897
<b>beta1</b>	0.368036
<b>beta2</b>	0.368811
<b>beta3</b>	0.367995
<b>ro</b>	0.999951
<b>sigma</b>	1
<b>phi</b>	1
<b>epsilon</b>	6
<b>theta</b>	2
<b>fi_pi</b>	0.5
<b>fi_y</b>	0.5
<b>kappa</b>	0.5
<b>psi_n_ya</b>	0.4948
<b>psi_n_ym</b>	0.7526
<b>eta</b>	4
<b>rho_v</b>	0.5
<b>rho_a</b>	0.9799
<b>rho_a1</b>	0.5276
<b>rho_a2</b>	0.6791
<b>rho_a3</b>	0.7132
<b>xi1</b>	0.44389
<b>xi2</b>	0.44703
<b>xi3</b>	0.50152
<b>zeta1</b>	0.44389
<b>zeta2</b>	0.44703
<b>zeta3</b>	0.50152
<b>zeta</b>	0.5
<b>chi1</b>	0.28139
<b>chi2</b>	0.03351
<b>chi3</b>	0.6851033

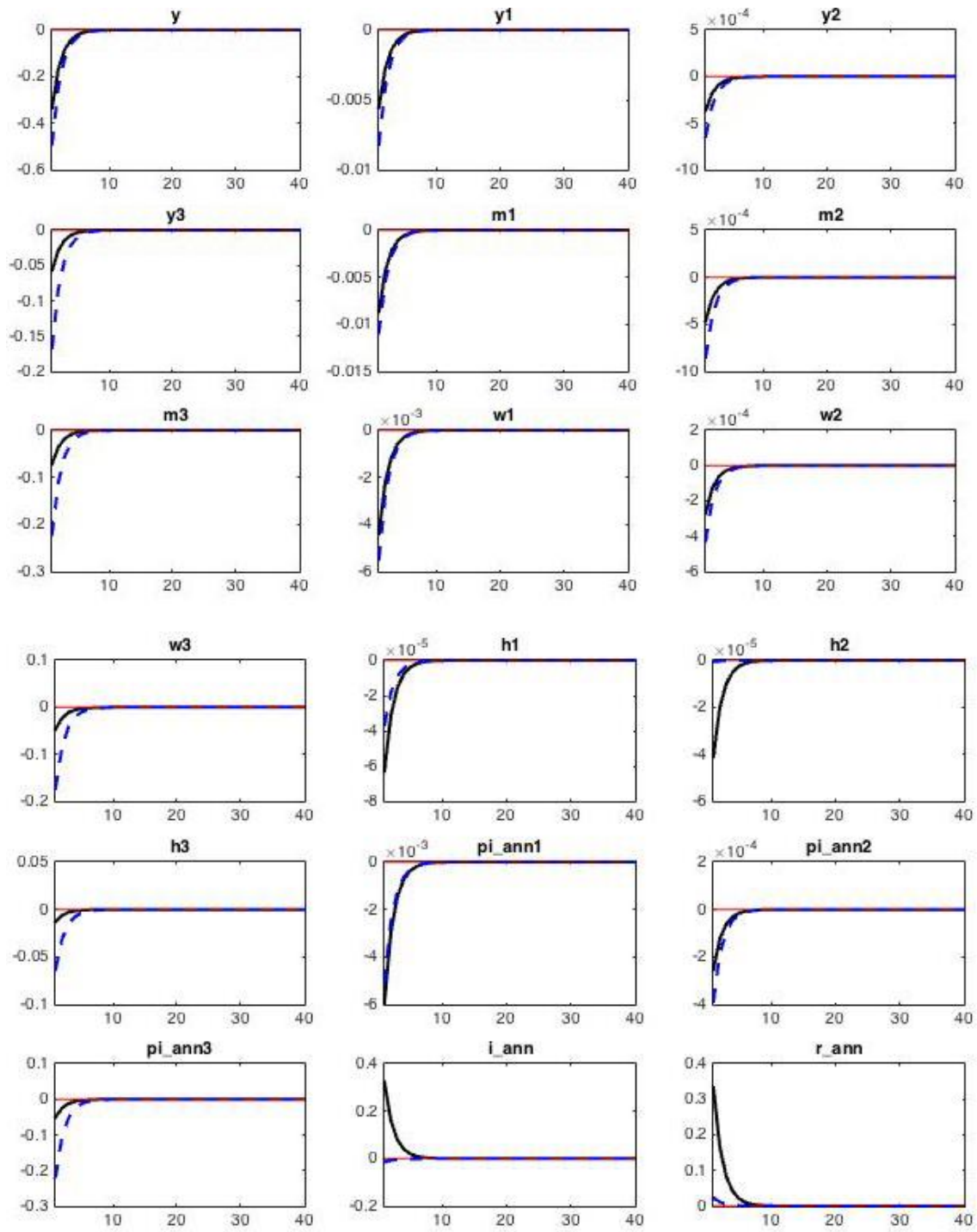
Graph 1:  
Technology shock



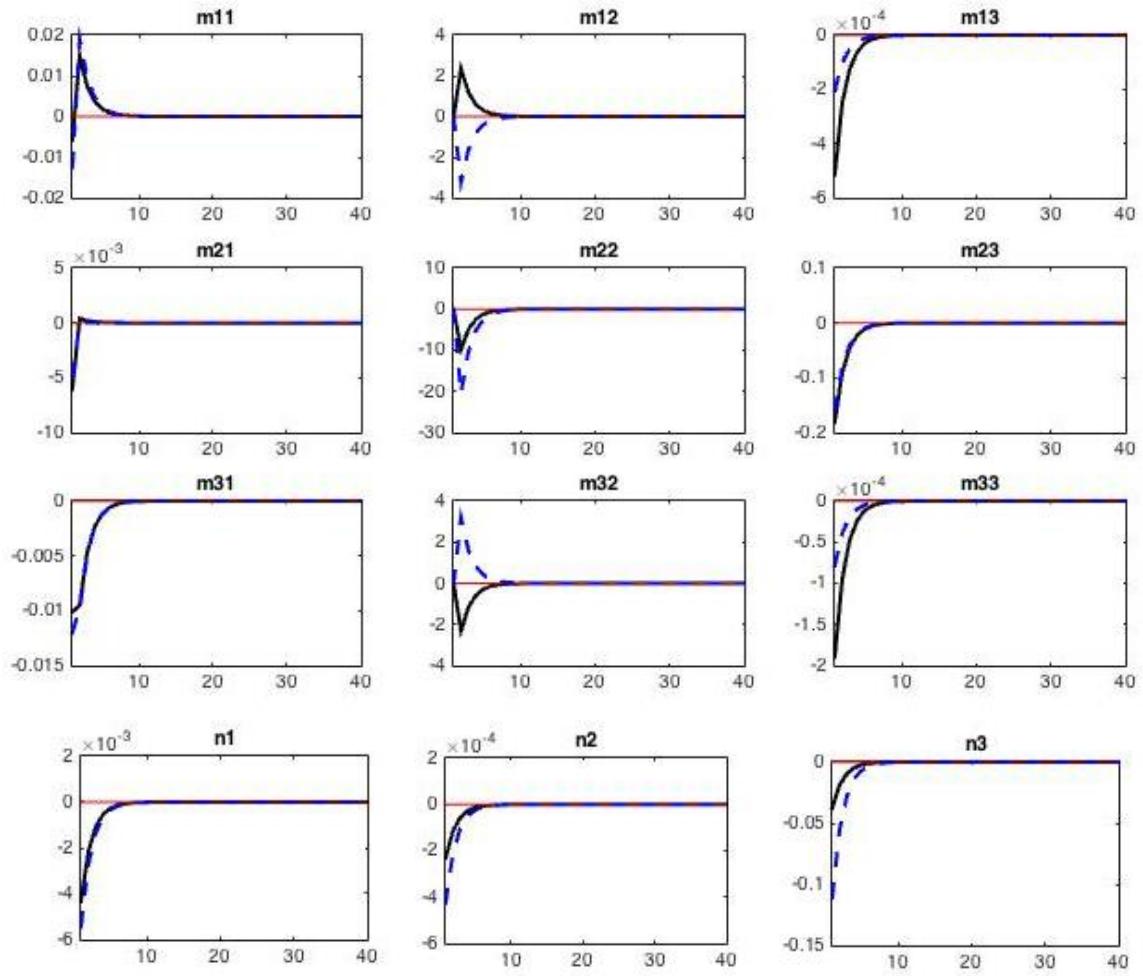


Graph 2:  
Monetary policy shock









# Using Student Exemplars in Empowering Learning

*Kong Ho, University of Brunei Darussalam, Brunei Darussalam*

## Abstract

It has been the author's experience that most art students learn about their art or craft through three major means: first, they learn from other artists and their artworks; second, they learn from their teachers; and third, they learn from their peers. A well-organized academic module or course is best built around these three means. Learning from former student exemplars is especially important to Ho's students and each semester he carefully records what his students have created so that his next group of students can learn from their successes and mistakes. His proven pedagogy for teaching studio art emphasizes incorporating former student exemplars into his teaching as a means to encourage and inspire students. Traditional art education focuses on setting the teacher and historical masterpieces as examples for students to emulate. However, this can be a drawback because it is hard for students to reach the teacher's skill level which usually takes years of practice to accomplish. This paper explores collaborative teaching and learning by using student exemplars to heighten students' sensibilities and perceptions. By studying their former peers' artworks, new ideas and insights may be obtained because students who are from similar backgrounds share similar experiences and social values.

**Keywords:** Art education, quality education, improvement method, collaborative teaching, & empowering learning

## Introduction

On the last day of classes, like most teaching artists, Prof. Kong Ho, collects his student artwork assignments and gets ready to evaluate and document the work so that he will have the latest visual recordings for next semester's classes. These important tasks can also be very exhausting if the classes are especially large, like they are at University of Brunei Darussalam (UBD). There is not any university requirement for teaching artists or art educators to document their student work for grading or teaching purposes. Ho documented his students' work for more than 28 years. He began teaching art and design at the Department of Architecture, University of Hong Kong, in 1987, and this is where he began archiving student exemplars for use in his future classes. Ho's method of taking photos of his students' work has only changed in his equipment use from analog to digital photography. Other than that, the framing and lighting of the art has remained the same. Digital photography is more convenient and flexible than analog or film photography for documenting student two-dimensional or three-dimensional artworks, especially when it comes to handle color temperature, light settings, and noise and grain adjustments. The specific purpose for documenting student artworks is almost the same, which is to give the next group of his students the best student exemplars possible when they are studying.

## Nature of art and design teaching and learning

The nature of studying art and design is about the creating original artworks or solving particular design problems. However, some previous artworks or design projects are impossible to collect and store for various reasons. Sometimes students want to keep their work, or perhaps a learning institution does not have a proper storage place for archiving student exemplars. Also, many artworks prohibit from being collected because of their physical size, weight, or fragility. Therefore, documentation of the physical work through analog or digital photography offers a logical solution for recording artworks or design work and transforming them into two-dimensional photographic prints or digital images. Like other

emerging teaching artists, Ho archived his student artworks as teaching resources for his future teaching and as teaching evidence for his next teaching position application. In the visual art academic field, job applicants are always asked to provide some samples of their student artworks along with their own personal artworks as reviewing materials along with their curricula vitae. Usually, the search committee members review the applicant's student artworks in order to examine whether the applicant's teaching pedagogies are effective or not. The conceptual ideas and technical achievement of individual student artworks can reveal the quality of art education which students received. Also, the outcomes of an art assignment or project or course justify the teaching pedagogies. It is also true that no matter how good an individual teaching artist or art educator is in his or her own personal art, it does not mean that he or she is good in teaching art because practicing art and teaching art are two different professional practices.

Practicing art is a kind of artistic research or practice-based enquiry or intellectual qualitative research with focus on the arts. Sheldon Richmond (1994) has discussed that "there are parallels between the scientific laboratory and the artistic studio as work place where hypotheses are tested" (p. 29). Artists generate their creative expressions and meanings through hands-on experience with the visual and material worlds within their studios. The process of art making requires constant practice and self-determination. However, teaching art is about transmitting conceptual knowledge and passing on technical training in the double process of giving and receiving. G. James Daichendt (2013) have described the key characteristic of teaching artist that "... the teaching artist is able to relate to students as fellow artists, equals, co-learners and perhaps at times direct collaborators in the making of art, the discovery of artistic and technical insights and the making of meaning" (p. 227). The major emphases of art teaching and learning in the 21st century should be creativity and originality, sensitivity and perception, visual communication, conceptual and technical development, problem solving ability, and theoretical study and experimental learning. No matter how different in the higher educational systems and diverse cultural background in the world, these six fundamental bases of art education should remain the same. In other words, each teaching artist may have different pedagogies or assignments set for his or her students to explore. Nevertheless, the outcomes of any art pedagogy or assignment should be customized towards these six principles. These six fundamental focuses become the answers to the common concerns of normal art learners, such as purposes of art learning, function of art in the society, meaning of art making, and value of art education.

At this point in time, art and design education is not about training an individual to be an artist or designer but about becoming a creative individual with imagination, sensibility, visualization ability, conceptual thinking, technical skill, flexibility, and knowledgeable and exploratory enquiry. Nick Jaffe (2013) captured this essence of teaching artists:

What I think these physical teachers might have in common is a depth of knowledge that enables them to be flexible and spontaneous; an enthusiasm for teaching and learning in their discipline; a dynamic understanding of the inseparability of theory and practice; a commitment to putting the actual work of physical above lesser concerns like "coverage," grades and classroom norms; and a willingness to teach as their peculiar selves. (p. xv)

With social, economic and technological advances occurring on almost a daily basis, it is imperative to develop a global awareness and a multi-cultural understanding of the contemporary art education in the society. It is important for teaching artists to support the interchange of ideas and to change from one-way transmission of knowledge to two-way collaborative learning and teaching in the 21st century second decade art education.

### *Three major methodologies for learning art*

When I look back on the last two decade of my teaching artist life, I believe that I can identify three major methodologies for learning art that shaped my teaching. First, one learns from other artists and their work. Second, one learns from one's teachers, and third, one learns from one's peers. A well-funded art program can offer an exceptional argument in support of the first method. Undoubtedly, visiting art exhibitions and studying original artworks enhance art learners' sensibilities and perceptions. However, it seems impossible for students to travel to different museums in the world to see the genuine masterpieces in various exhibition settings because of the limited art education budget in some countries. Usually, art books are the major sources for studying individual masterpieces. Nevertheless, studies from reproductions of any masterpieces through printing or digital online source always limit the art learning because technically it is impossible to reproduce the colors, textures, details and scale of an authentic artwork. A simple online search for Leonardo da Vinci's masterpiece, Mona Lisa. c. 1503-06, via Google will yield many diverse versions of this significant work of art. Different scanned images or digitally photographed images bear different color combinations. Some online images of Mona Lisa appear more reddish or bluish, which are different from the original masterpiece perceived in the Louvre Museum in France. At the same time, it is not an easy task for individual art learners to appreciate the original masterpiece of Mona Lisa in the Louvre because of the over-crowded amount of tourists in a daily basis. According to online Fun Trivia (2014), over six million tourists visit the Louvre annually and the Mona Lisa is viewed by nearly most of these tourists.

Traditional art education places teaching artists as ethical examples for their students to emulate through demonstrations and their practices. Kong Ho (2014) defined the role of teaching artist: "The earnestness that teaching artists have toward their art can become instilled in their students over time. Moreover, the teaching artists should act as a pioneer explorer toward new project grants, technologies, concepts, and techniques in addition to mastering of traditional methods and skills" (p. 25). Similarly, the seriousness that the teaching artist has toward his or her teaching can have direct and indirect influences on their students. Nonetheless, learning from one's teachers may have a drawback because it is hard for students, especially those learners in the beginning level, to reach their teaching artist's professional skill level even though they have observed the demonstrations carefully. Visual artists, similar to other performing artists, require time to practice their art endeavors. It may seem easy for a professional artist with years of practice to demonstrate some basic rendering skills. However, it may not be easy for an art learner to grasp the essential skill in one lesson or one week of study. Elizabeth Barkley, K. Cross and Claire Major (2005) noted that "First, the predominant conclusion from a half-century of research is that teachers cannot simple transfer knowledge to students. Students must build their own minds through a process of assimilating information into their own understandings. Meaningful and lasting learning occurs through personal, active engagement" (p. xi). It is essential for teaching artists to give their students room to explore new concepts and techniques. Conversely, students can count on their teaching artists for technical and critical support during their art learning exploration.

Documenting what students have created in the current semester so that the next group of students can learn from their successes and mistakes, does not seem at first to be innovative pedagogy, however, incorporating former student exemplars into teaching is so important that educators need to be reminded that the effort of documenting and showing former work serves as an effective means to encourage students and empower learning. Through studying their peers' exemplars, which are created by the same level of former students who are from similar art backgrounds and share similar art experience, the next

group of students can heighten their sensibilities and stimulate their creativities. Traditional art education, like other academic disciplines, emphasizes competitiveness and seniority. Usually, the assessment of art study depends on individual performance and competency in completing art assignments or projects. Empowering students with outstanding exemplars of art assignments or projects helps to blur the divergence between teachers and students, seniors and freshmen and to redirect the center of interest back to learning – acquiring knowledge of specific academic field. Using student exemplars in teaching focuses on collaborative teaching and hands-on learning experience from course objectives or outcomes design to coursework assessment. These two major teaching and learning concepts are augmented with the help of 21st century digital technology and social media communication, so that a very collaborative art learning environment and practice-based course design is firmly established.

The notion that art talents are not innate but are nurtured is of particular important in setting up the learning outcomes with emphasis on creativity, sensibility, visualization, conceptualization, knowledgeability and exploration rather than specific skill acquirement or development. Using student exemplars in setting up the learning outcomes of any art assignment or project not only helps to design reachable learning goals for students but also stimulates students in their studies through collaborative teaching and learning. R. S. Matthews (1996) apprehended the nature of collaborative learning: "Collaborative learning occurs when students and faculty work together to create knowledge. ... It is a pedagogy that has at its center the assumption that people making meaning together and that the process enriches and enlarges them" (p. 101). The inherent features of collaborative learning include instructional pedagogy, collaboration, inclusion, and generation of knowledge and meaning. Within the process of integrating student exemplars in teaching, students study their peer's artworks to achieve shared learning goals. The critical factors for a successful hands-on art learning experience are based on positive interdependence and individual accountability.

Up until this point, using student exemplars in collaborative teaching and learning has been discussed in relation to empowering students in learning. The following are five case studies in university level art courses, chosen from Prof. Ho's Advanced Painting and Digital Photography and Videography courses, taught at UBD from the fall of 2011 to spring of 2014, which can illustrate the details of using student exemplars in collaborative teaching and positive results of learning from student exemplars. A written description of assessment criteria is printed with each assignment or project brief handout to make sure students understand the requirements of that particular assignment. However, many students find written criteria description difficult to relate to because they seem to open to interpretation, but they discover that exemplars are more useful because they can see what their peers have produced. Foster, G., & Marasco, T.L. (2007) illustrated the principle of using exemplars: "Exemplars show what rubrics tell about assessment criteria. Usually referenced to grade levels, they illustrate student work in a way that may help other students improve their work. ... While exemplars possess immense value in standard setting, wise teachers employ them as teaching tools, as well" (p. 5).

### **Case study I: Synthesis painting assignment**

The objectives of the second painting assignment, titled as "Synthesis Painting with Figure and Plant Motifs," from Ho's Advanced Painting course are to explore student imagination and the concept of transformation by synthesizing two different motifs, figure and plant, into an intriguing symbolic painting. Students are required to search for two objects with certain similarities in form, shape, color and/or texture, and apply their imagination to create a metaphoric symbol or figure, which does not literally exist in the reality. The final metaphoric figure should illustrate student's understanding of the

object's structure and the plant's form, plus light and shadow play, color and texture, and transition and formation. In the first painting, *Blue Jay and Lily*, shown in Figure 1, done by Hajah NoorNi'Matullah binti Haji Hamdani in the fall of 2011, reveals NoorNi'Matullah's struggle with merging the blue jay and lily. NoorNi'Matullah tries to transform the tail of blue jay into the blue lily, but the overall composition displays inconsistencies with the other elements in her painting. One year later, Nurul Jannah Haji Ahmad's painting, *Cat-Pitcher-Plant*, done in the spring of 2013, shown in Figure 2, illustrates how Jannah integrates the orange-brown fur of the cat with the pitcher plant cup texture, and she has control of the directional lighting on both subjects. The overall result of her painting shows the competency of Jannah's realistic painting skill and her creativity in merging two motifs into an intriguing composition. However, without the previous exemplar done by NoorNi'Matullah, Jannah may not have grasped the true criteria for this painting assignment.



Figure 1: Hajah NoorNi'Matullah binti Haji Hamdani. *Blue Jay and Lily*. 2011. Acrylic on canvas, 20"H x 16"W.





Figure 2: Nurul Jannah Haji Ahmad. Cat-Pitcher-Plant. 2013. Acrylic on canvas, 20"H x 20"W.

### Case study II: Given object painting assignment

The first painting assignment, "Your Chosen Subject Matter with a Given Object," from Ho's Advanced Painting module is designed to challenge the student's mind about considering the composition and content of his or her painting. Each student receives a similar or identical object, such as a seashell, a napkin with snowflake pattern, a piece of day calendar paper, or a game card, and has to find a creative way to integrate this object into his or her painting. The only thing they are not allowed to do is to collage the object directly onto the canvas. Students have to study the given object first in order to have a better understanding of its form, shape, color and texture. At the same time, they have to figure out the way to transform the given object into an interesting component in their paintings' compositions. Furthermore, the given object has to fit with the particular subject matter they have chosen, such as still-life, landscape, or figure. In the first painting, Donut and Snowflake Napkin, done by Nur Amnani binti Haji Awg Md Taib in the spring of 2012, Amnani's idea was to highlight the functional use of the given object, the snowflake napkin, by placing it under the donuts. The overall composition of Amnani's painting shows her understanding of color contrast, especially warm and cool color contrast. Also, Amnani pays attention to the textural details of the donut and snowflake napkin. Two years later, Aqilah Haji Morshidi's Time Metamorphosis, shown in Figure 2, show her creativity for transforming an ordinary flat piece of printed day calendar paper into a paper-cut butterfly sitting on a wood log. Aqilah not only change the form of the given object from two-dimensional paper to three-dimensional roll but also transcends the inherent meaning of what a calendar represents – constrained time. In contrast to controlled time she creates a butterfly that is a symbol of freedom and a break from human controlled time. Aqilah masters the concept of light and shadow as well as her painting skill in this imaginative painting. Aqilah's painting reveals a conceptual advance in comparison with Amnani's painting. Aqilah was not satisfied to present just the original function of a calendar's day, but transformed it into an extraordinary symbolic object that integrated well with the rest of her painting's components.

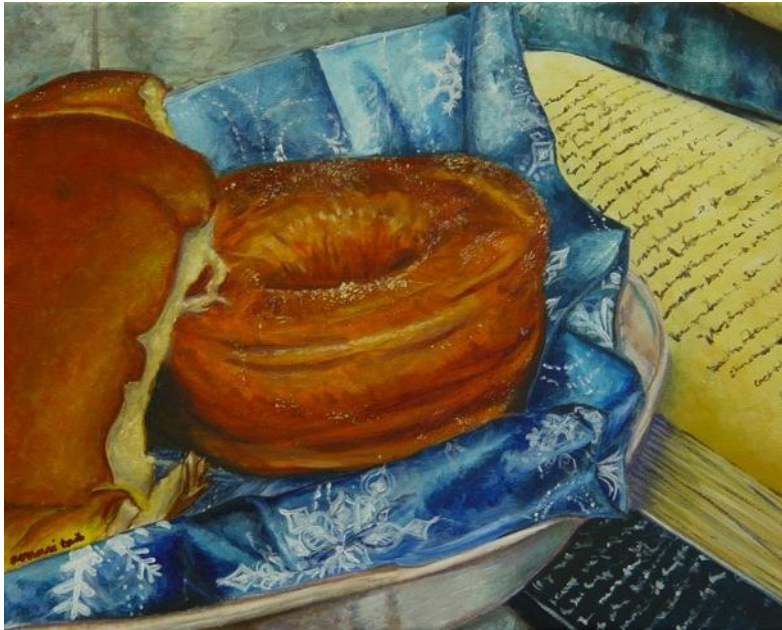


Figure 3: Nur Amnani binti Haji Awg Md Taib. Donut & Snowflake Napkin. 2014. Acrylic on canvas, 16"H x 20"W.



Figure 4: Aqilah Haji Morshidi. Time Metamorphosis. 2014. Acrylic on canvas, 16"H x 20"W.

### Case study III: Caustic photography assignment

The objectives of the second photography assignment, "Lighting and Decisive Moment," are designed to let students explore different light sources, to include indoor or outdoor available light. Also, different camera exposure settings are explored to capture a certain moment, which may exceed normal human visual perception and allow for the capture of a picture of something we may not normally see. According to Henri Cartier-Bresson (1908-2004), the father of modern photojournalism, there is a creative moment of a second when we are taking a picture. Our eyes see an artistic composition or a unique expression that life itself offers us, and we must know with intuition when to press the shutter down. Once you miss that moment, it is gone forever. Many outstanding photographs are of fleeting moments, and the photographer has to be opportunistic and capture that decisive moment. For this

assignment, students were required to capture a "caustic", or a bright shape created by the focusing of light through a curved transparent object, such as the pattern of light on a table top made by light passing through a curved glass surface. Nur Amnani Haji Awg Md Taib's photo, "Caustic," shown in Figure 5 and done in the spring of 2012, shows how she manipulates the caustic modulating circle of light by adding yellow-orange food color to the glass filled with water and focusing on the pattern radiating on the table top instead of on the glass itself. In comparison with Mohammad Niq'Matul Ghizalif bin Md Jinin's "Golden Caustic," shown in Figure 6 and done in the spring of 2013, Amnani's photo is slightly less successful in his use of the background to emphasize the caustic. Niq's photo shows his competence in controlling the background color and side-lit lighting to turn the center of interest to the golden caustic light. However, without Amnani's exemplar, Niq may not have been able to challenge himself in his caustic photography assignment.

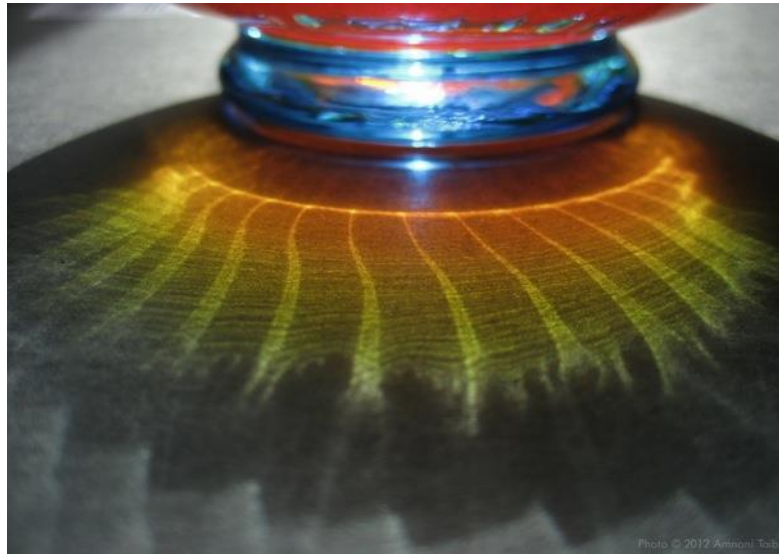


Figure 5: Nur Amnani binti Haji Awg Md Taib. Caustic. 2012. Digital print, 8"H x 10"W.





Figure 6: Mohammad Niq'Matul Ghizalif bin Md Jinin. Golden Caustic. 2013. Digital print, 10"H x 8"W.

#### Case study IV: Decisive moment photography assignment

The requirement for the decisive moment photography assignment is mainly about capturing the decisive moment of a person or a group of people in action. Teaching students about what a decisive moment is and how to capture it is first introduced through a PowerPoint lecture that introduces students to the iconic photo of photojournalism, "Place de l'Europe – Gare Saint Lazare," done by Henri Cartier-Bresson in 1932. Students analyze the image and learn how to capture the action, expression and an entire story in a single image. In the spring of 2012, Nur Raihana Muhammad Hanafi captured the moment her friend, wearing traditional Islamic black woman clothing with headscarf, jumped up with her two arms stretched out, at Maura Beach in Brunei, shown in Figure 7. Her photo became an exemplar of the decisive moment for the next group of photography students. Six months later, Abd Hadi bin Roseli produced another decisive moment photo, "Amazing Phenomenon," showcasing the challenging idea to include three major concepts in a single decisive moment, shown in Figure 8. Hadi directed his four friends to jump up with premeditated actions, such as thinking, reading, opening a door and dancing, which created a more challenging moment than Raihana's single jumping figure. Without Raihana's exemplar, Hadi may have been satisfied with a less ambitious image. The positive competitive nature for doing better than our peers is the driving force behind Hadi's achievement of trying for better results.

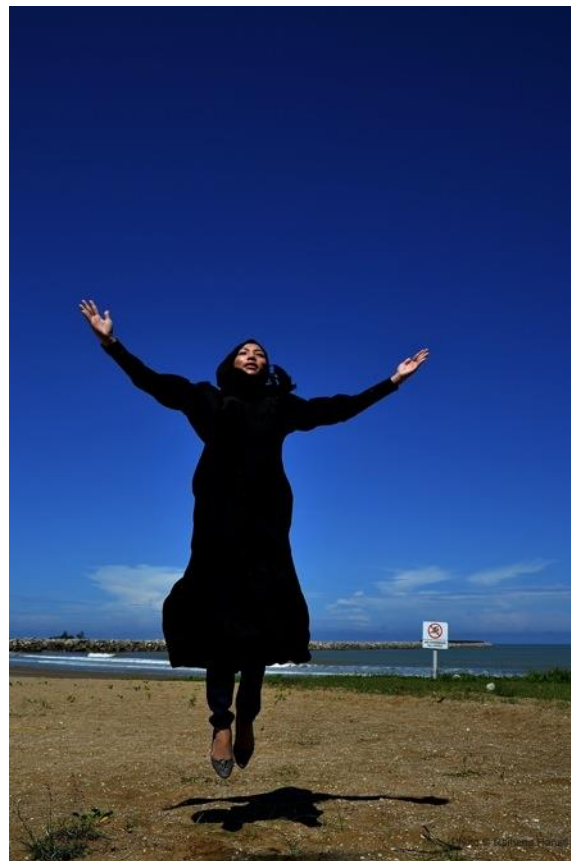


Figure 7: Nur Raihana Muhammad Hanafi. Embracing the Sky. 2013. Digital print, 14"H x 11"W.



Figure 8: Abd Hadi bin Roseli. Amazing Phenomenon. 2013. Digital print, 11"H x 14"W.

### Case study V: Altered images photography assignment

In the third photography assignment, "Altered Images," students are required to alter, redesign, or transform a familiar iconic image to create a new impression. The goals for this photography assignment are to explore student imaginations and their understanding of digital imaging. Students alter the famous Mona Lisa, created by Renaissance master, Leonardo da Vinci, into unique images with new interpretations based on its suggested timeless secrets. Also, students must title their altered images with "Homage to Leonardo da Vinci's Mona Lisa" at the front to give credit to the original artist. Mohammad Niq'Matul Ghizalif bin Md Jinin's altered image of Mona Lisa, shown in Figure 9, created in the spring of 2012, he reveals his playful idea for fusing his own identity with that of the Mona Lisa by cloning his face onto Mona Lisa's image. Also, he had to adjust the color setting to match two images. The posture and facial expression of Niq's altered Mona Lisa inspired Ijjojji bin Nordin interpret the typical Bruneian "whatever" gesture in his altered Mona Lisa, shown in Figure 10 and done in the spring of 2013. Ijjojji went beyond his predecessor, Niq, by altering the folding hands gesture of original Mona Lisa to a more playful hand-gesture, in addition to replacing the facial expression of Mona Lisa with his own face.



Figure 9: Mohammad Niq'Matul Ghizalif bin Md Jinin. Homage to Leonardo da Vinci's Mona Lisa – What's Up. 2012. Digital print, 10"H x 8"W.





Figure 10: Ijjoji bin Nordin. Homage to Leonardo da Vinci's Mona Lisa – What Ever. 2013. Digital print, 10"H x 8"W.

### **Methods in incorporating student exemplars in teaching**

Despite the time and effort teaching artists have spent collecting exemplars from their previous classes, they will not see the growth of next group of students over the level of the previous one until they incorporate their students' previous exemplars into their current teaching. There are many ways to incorporate exemplars into teaching materials, such as inserting some exemplars with the individual student name and artwork details into course syllabus, assignment or project handouts, teaching notes, PowerPoint lectures, university or faculty newsletters or magazines, student publications, project brochures, faculty or program web page and/or online discussion group forum; inviting former students as guest artists to share their art experience in classes; asking students to leave their testimonials for the particular program or course. In fact, the best effective way for influencing a student is student referral incentive.

Through printing or online displays of student exemplars, students receive not only the positive recognition for their outstanding artworks but also their inclusion in the curriculum or course development enhances the text of the documents. They claim the ownership of that particular curriculum or course because their previous course works have become a part of learning materials for next group of students. In the 21st century art education, the best curriculum or course design is to let the students feel proud of their studies. If students are interested in their courses and equipped with relevant competence in those particular studies, then they become self-motivated in doing their best in their studies. The role of teaching artist shifts from instructor or coach to inspirer or influential mentor. At the same time, the student's role has been transformed to that of a pro-active one. Empowering students does not demote the influence of a teaching artist, but instead stimulates a passion for learning.

## Conclusion

Using exemplars as an instructional resource not only empowers students to engage in their learning, but also helps teaching artists to evaluate their teaching pedagogies and develop their teaching resources. As previously mentioned, it takes extra time and determination for teaching artists to collect exemplars after finishing grading or reviewing student artworks at the end of semester. After that, it requires the action and patience of teaching artists to apply the student exemplars towards developing their teaching materials for next semester's teaching. New ideas and insights may be generated by discussing and studying former peers' artworks because students who are from similar backgrounds share similar experiences and social values. Disseminating student exemplars to the next group of students helps teaching artists to understand their students through their perspective and to set learning outcomes that their students can achieve. This mutual understanding between teaching artists and their students ensures the two-way transmission of knowledge and skills between teaching and learning. Empowering students in their own learning means to blur the role of teachers and receiving learners and to establish true two-way collaborative teaching and learning.

The satisfaction gained from witnessing the improvement of individual students who were inspired by their predecessors' exemplars may go beyond the actual time and effort, which teaching artists spent on documenting, collecting and implementing exemplars as instructional resources, learning outcomes and subject standards. Engaging students in learning by using student exemplars is a scaffold type learning technique that cannot really be an innovative pedagogy used for constructivist learning until teaching artists are aware of its true usefulness and effectiveness. Similarly, any effective teaching pedagogy should be timeless for inspiring learning and generating new knowledge.

## References

- Barkley, E. F., Cross, K. P., & Major, C. H. (2005). *Collaborative Learning Techniques*. San Francisco, CA: Jossey-Bass.
- Daichendt, G. J. (2013). A brief, broad history of the teaching artist. In N. Jaffe, B. Barniskis, & B. H. Cox, *Teaching Artist Handbook* (Vol. 1). (p. 227). Chicago, IL: Columbia College Chicago Press.
- Foster, G. & Marasco, T. L. (2007). *Exemplars: Your best resource to improve student writing*. Markham, ON: Pembroke Publishers.
- Fun Trivia, (n.d.). *The mysterious Mona Lisa*. Retrieved from <http://www.funtrivia.com/en/subtopics/The-Mysterious-Mona-Lisa-190164.html>
- Ho, K. (2014). Public art education in Brunei Darussalam: The cultural language of community mural. *Teaching Artist Journal*. 12(1), 24-36.
- Jaffe, N., Barniskis, B. & Cox, B. H. (2013). *Teaching artist handbook* (Vol. 1). Chicago, IL: Columbia College Chicago Press.
- Matthews, R. S. (1996). Collaborative learning: Creating knowledge with students. In R. J. Menges, & M. Weimer (Eds.), *Teaching on solid ground: Using scholarship to improve practice* (p. 101). San Francisco, CA: Jossey-Bass.
- Richmond, S. S. (1994). *Aesthetic criteria: Gombrich and the philosophies of science of Popper and Polanyi*. Atlanta, GA: Rodopi Editions.

# Principles of Social Responsibility in Terms of Sustainable Tourism in Tourism Establishments

*Emel Çınarlı, Selcuk University, Turkey*  
*Yavuz Çakmak, Selcuk University, Turkey*  
*M. Burak Ceran, Selcuk University, Turkey*

## **Abstract**

Tourism, which is one of the largest and fastest growing industries in the world, also has harmful environmental and socio-cultural impacts its rapid development brought about in addition to its significant benefits for many countries, regions and nations. As a result it has been suggested that while continuing to use the existing tourism resources, it is necessary to ensure the use of these resources by future generations by means of sustainable tourism that emerges with the necessity to investigate an environmentally sensitive tourism approach. In this context, there are duties of tourism establishments. Although there are many sub-factors of sustainable tourism which are related to each other, corporate social responsibility, one of these sub-factors, comes to the forefront when considered in terms of tourism establishments. In this study, corporate social responsibility is considered as an essential component in terms of ensuring sustainable tourism and is discussed and the impacts of the principles of social responsibility on sustainable tourism are evaluated.

**Key words:** sustainable tourism, social responsibility, tourism establishments

# Psychological Flexibility and Self-Compassion: Contributions of Gender and its Association with Adolescent Depression

*Andreia Azevedo, University of Coimbra, Portugal*

*Ana Paula Matos, University of Coimbra, Portugal*

## Abstract

*Background:* In adolescence, depression is a very impairing and recurrent condition. So it is crucial to identify variables that may contribute to its effective prevention and/or treatment. Self-Compassion and Psychological Flexibility have been pointed to as factors with an important role in the treatment of depression and in predicting recovery. However few studies have addressed these factors in depressed adolescents, and even fewer have studied the patterns of its association according to gender. *Aim(s):* The main aim of this research is to examine the relationships between depression, self-compassion and psychological flexibility, taking also into account the contribution of gender, in a sample composed of depressed and non-depressed adolescents. *Methods and Results:* The samples are comprised by adolescents aged between 14 and 18 years, 388 from the general population (non-clinical sample) and 25 which were clinically depressed (clinical sample), and were collected in Portuguese schools, hospitals, and private clinics. Depressed and non-depressed adolescents significantly differ in regard to self-compassion and psychological flexibility. In the clinical sample, as expected, we found lower scores in the positive dimensions of self-compassion and of psychological flexibility, presenting higher scores of experiential avoidance. The results also show that gender significantly contributes to the relationship between depressive symptoms and some of these variables, suggesting a moderating effect of gender. *Conclusions:* Some possible explanations for these associations are presented, as well as clinical implications for prevention and treatment programs.

*Keywords:* Self-compassion, Psychological Flexibility, Depression, Gender Differences, Moderation

## 1. Introduction

Depression is a substantial health issue among adolescents. Several studies have found rates of clinical depression among adolescents between 3% and 8% (Apter, Kronenberg, & Brent, 2005; Merry, McDowell, Hedrick, Bir, & Muller, 2004). Furthermore, depression rarely occurs without comorbid mental health problems, which can be as high as 40% to 95% (Parker, & Roy, 2001).

Adolescence is a critical period for the onset of depressive episodes, since the first major lifetime depressive episode tends to occur between the ages of 15 and 18 (Kessler, Avenevoli, & Merikangas, 2001). Also, it is in this age range that the observed gender differences become evident, both in prevalence and incidence of major depression. Until around the age of 13 to 15 years, similar rates are observed for boys and girls, until girls begin to show a disproportionate increase in depression (Hyde, Mezulis, & Abramson, 2008). However, we know little about why this shift occurs, nor how girls and boys might respond differentially to prevention and treatment (Merry, McDowell, Hedrick, Bir, & Muller, 2004). Addressing this issue is of major significance, in order to contribute to addressing the important question of what works best for whom.

Some variables or processes have been largely associated with mental health. Emotional stability has traditionally been considered a key component of psychological health and well-being (Costa, & McCrae, 1980; DeNeve, & Cooper, 1998). Although well adjusted people may appear to be highly stable, recent research suggests that it is actually their ability to continually modify and adjust their emotional responses to environmental changes that underlies their resilience (e.g., Waugh, Thompson, & Gotlib, 2011). Adaptability in emotional responding can be related to both psychological flexibility and self-compassion. Psychological flexibility can be seen as a general capacity for dynamically responding to fluctuating situational demands, which has been identified as a major determinant of mental health (Kashdan, & Rottenberg, 2010). Likewise, self-compassion provides kindness and understanding in the face of life's disappointments, providing emotional stability when the individual is confronted with failure or personal inadequacies (Neff, & Germer, 2013).

### **Psychological Flexibility**

Psychological flexibility, however, has been neglected as a cornerstone of health, because of its complexity, being a construct difficult to define (Kashdan, & Rosenberg, 2010). It refers to a number of dynamic processes that unfold over time. "This could be reflected by how a person: (1) adapts to fluctuating situational demands, (2) reconfigures mental resources, (3) shifts perspective, and (4) balances competing desires, needs, and life domains" (Kashdan, & Rosenberg, 2010, p. 866). In the face of its theoretical background of functional contextualism (Biglan, & Hayes, 1996), definitions of psychological flexibility have to incorporate repeated transactions between people and their environmental contexts (Kashdan, & Rottenberg, 2010). Generally speaking, psychological flexibility is the ability to contact the present moment more fully as a conscious human being, and to change or persist in behavior when this serves valued ends (Hayes, Luoma, Bond, Masuda, & Lillis, 2006). In correlational meta-analyses conducted by Hayes and colleagues (2006), the principle of psychological flexibility, as measured by the AAQ (Acceptance and Action Questionnaire), appears associated with improvement of quality of life in adults. Psychological flexibility has also been correlated with lower levels of mental illness (Bond, & Bunce, 2003; Donaldson-Feilder, & Bond, 2004).

On the other side, inflexibility is a major theme in depression (Rottenberg, 2005). Given that depression often involves inflexible responses, Rottenberg (2005) has argued that depression can be seen as a syndrome where a severe mood disturbance interrupts ongoing motivated activity. Rottenberg, Gross and Gotlib (2005) called this phenomenon emotion context insensitivity. Mostly, psychological inflexibility refers to "the rigid dominance of psychological reaction over chosen values and contingencies in guiding actions" (Bond, Hayes, Baer, Carpenter, Guenole, Orcutt, Waltz, & Zettle, 2011, p. 678), regardless of its context. Specifically, this general maladaptive regulation process is marked by behavioral efforts to control and prevent unwanted psychological experiences, combined with excessive investment in the literal content of thoughts. Although these efforts can be beneficial in some situations or contexts, they can often be prejudicial in others, leading to greater distress and functional impairment (Hayes, Villatte, Levin, & Hildebrandt, 2011).

This knowledge suggests that, in depression, interventions designed to boost skills related to psychological flexibility are important. It is expected that as the skills related to psychological

flexibility flourish, people become more versatile and more able to commit attention and energy to meaningful interests and values (Hayes, Strosahl, & Wilson, 1999), therefore, getting protected for future relapses.

### **Self-Compassion**

Research on self-compassion is new in psychology, having a little more than ten years of work (Yarnell, Stafford, Neff, Reilly, Knox, & Mullarkey, 2015). According to Neff (2003), self-compassion is composed of three components: Self-Kindness versus Self-Judgment, a sense of Common Humanity versus Isolation, and Mindfulness versus Over-Identification when confronting negative self-relevant thoughts and emotions. In interaction, these combined components create a self-compassionate frame of mind. Self-Kindness refers to the ability to be caring and understanding with oneself, instead of being critical or judgmental, offering soothing and comfort to the self in times of suffering. Common Humanity involves recognizing that all humans are imperfect, fail, and make mistakes. It connects one's own flawed condition as part of a larger human condition, so that greater perspective is taken when difficulties arise. Mindfulness is a balanced awareness of one's present moment experience or painful feelings rather than over-identifying with the negative aspects of one's life. Compassion can be extended toward the self when suffering occurs through no fault of one's own—when the external circumstances of life are simply difficult to bear. Self-compassion is equally relevant, however, when suffering stems from one's own mistakes, failures, or inadequacies. One of the most consistent findings in the research literature is that self-compassion is inversely related to psychopathology (Barnard, & Curry, 2011). In fact, a recent meta-analysis (MacBeth, & Gumley, 2012) found a large effect size when examining the link between self-compassion and depression, anxiety, and stress across 20 studies. In addition, empirical evidence suggests that self-compassion is associated negatively with depressive symptoms, being also a strong predictor of depression recovery (Neff, 2003; Neff, 2005; Neff, Kirkpatrick, & Rude, 2007). Self-compassion appears to facilitate resilience by moderating people's reactions to negative events (Leary, Tate, Adams, Allen, & Hancock, 2007). Self-compassionate people are less likely to ruminate about or else suppress their negative thoughts and emotions (Neff, 2003).

### **The importance of the study of gender differences**

Despite the lack of consistent studies, with no studies conducted in adolescents, there is reason to hypothesize gender differences in self-compassion (Yarnell, Stafford, Neff, Reillyb, Knoxb & Mullarkey, 2015). For instance, in the context of the study of compassion, the norm of self-sacrifice (prioritizing the needs of others over their own) is more familiar to women, which may impact their ability to give themselves compassion (Raffaelli, & Ontai, 2004). Women tend to be more critical of themselves than males (DeVore, & Pritchard 2013). Thus, there is reason to believe that women are more likely to lack self-compassion than men. However, there are also reasons to believe that the reverse is true. Since self-compassion involves actively soothing and comforting oneself when suffering is experienced (Neff, 2009), women seem to be more prepared for that than men (Raffaelli, & Ontai, 2004). In fact, research indicates that adherence to masculine gender norms, related with socialization patterns emphasizing emotional restrictiveness and stoicism (Levant, 2011), is associated with lower levels of self-compassion (Reilly, Rochlen, & Awad, 2014).

In regard to studies of gender differences on psychological flexibility, no systematic studies on the contribution of gender in its relationship to depression, or overall mental health, specifically in adolescents, are found in literature. Nonetheless, having in count the studies available on the relationship between inflexibility and depression, it would be important to explore if there are differences between boys and girls on psychological flexibility and if gender moderates its relationship with depression.

Therefore, despite the overall lack of studies of this nature with adolescents, it is expected that there are gender differences in self-compassion and psychological flexibility, as well as different patterns of its association with clinical depression. If so, this would have research and clinical implications regarding how and to whom self-compassion and psychological flexibility should be taught, using specifically developed therapies for promoting these skills (e.g., Therapy of Acceptance and Commitment; Compassionate Mind Training).



## Present Study

The purpose of the present study was to investigate gender differences in self-compassion and psychological flexibility in Portuguese adolescents, and explore its contribution to depression. Having in count the lack of studies among adolescents concerning gender differences in the relationships between depression, psychological flexibility and self-compassion, no specific hypotheses were made. An exploratory study was, then, carried out, in order to simultaneously examine differences on these variables between non-clinical and clinical samples (non-depressed vs depressed adolescents) and to analyze gender differences in these variables and in the associations between them, within the framework of moderation analyses.

## 2. Methods

### 2.1. Participants

The total sample consists of 413 adolescents, aged between 14 and 18 years old ( $M=5.97$ ,  $SD=1.32$ ) collected in Portuguese schools, hospitals and private clinics. Of these, 249 are females (60.3%) and 149 males (39.7%). This so called total sample is comprised by 388 adolescents from the general population (normal sample) and by 25 adolescents, which are clinically depressed (clinical sample). Adolescents from the clinical sample were selected using the diagnostic interview Kiddie-Sads-Present and Lifetime Version (K-SADS-PL; Kaufman, Birmaher, Brent, Rao, & Ryan, 1996; Portuguese version by Matos, Marques, & Salvador, 2015).

### 2.2. Procedure

After guaranteeing authorizations of national data protection authorities that regulate the application of surveys in schools and of ethical health commissions of hospitals from the central region of Portugal, authorizations from schools' directors and from directors of mental health services were obtained. Adolescents and parents (in the case of underage teens) were required to sign informed consents prior to their participation in the study.

Regarding the sample collected in schools, self-report instruments were applied in classroom context, in the presence of researchers. To the students who reported high levels of depression (cut-off point 19 on Children's Depression Inventory), the K-SADS-PL interview was administered individually, in an appropriate and private space. Subjects recruited from the hospitals and private clinics were directed by their child psychiatrist to the study and were then interviewed by the researchers in the same conditions as students selected in schools, after which filled the self-report protocol. Researchers were psychotherapists with more than five years of clinical experience, which had specific training in the administration of the interview.

### 2.3. Measures

*Children's Depression Inventory* (CDI; Kovacs, 1985; Portuguese version by Marujo, 1994). The CDI is a self-report instrument composed of 27 items rated on a three-point *Likert* scale that evaluates depressive symptomatology in children and adolescents, aged between 6 and 18 (Kovacs, 1992). It consists of 27 items that feature three response possibilities and the individual must indicate the one that best describes how he felt in the past two weeks. Total score ranges between 0 and 54 points and a higher score indicates a higher severity of depression. In the original version of the scale, Kovacs (1985) demonstrated good psychometric qualities of the instrument, in terms of internal consistency, with Cronbach's alphas ( $\alpha$ ) between .83 and .94, and in terms of test-retest reliability. In the Portuguese version, Marujo (1994) and later Dias and Gonçalves (1999), found high Cronbach's  $\alpha$  values (between .80 and .84). However, these authors could not find the 5 factors described by Kovacs (1985), obtaining an one-dimensional structure. In the present investigation an alpha of .87 was found for the total score of the CDI, revealing good internal consistency.

*Self-Compassion Scale* (SELF-CS; Neff, 2003; Portuguese version by Castilho, & Pinto-Gouveia, 2011). The Self-Compassion Scale is a self-report measure composed by 26 items that measure six

components: Self-Kindness (ability to be kind and understandable to oneself), Mindfulness (balanced awareness and acceptance of one's own feelings and painful feelings), Common Humanity (understanding one's own experiences as part of a larger human experience), Self-Judgment (to be critical and punitive of oneself), Over-Identification (Over-Identification with negative feelings and thoughts) and Isolation (understanding one's own experiences as different and part of an inadequate self). Each item is rated on a five-point *Likert* scale according to how frequently the individual acts towards himself in difficult times (1= "Almost never" to 5="Almost always"). The total self-compassion score can be obtained by reversing the score of the negative subscale items (i.e. Self-Judgment, Isolation, and Over-Identification) and then compute a total mean. Subscale scores are obtained by calculating the mean of subscale's items responses. The original scale revealed to possess a very good reliability, with a Cronbach's  $\alpha$  value of .92 (Neff, 2003). For the scales, the following Cronbach's  $\alpha$  values were obtained in the original study of the scale: Self-Kindness .78, Mindfulness .75, Common Humanity .80, Self-Judgment .77, Over-Identification .81 and Isolation .79. In the Portuguese version of this scale (Castilho, & Gouveia, 2011), a good internal consistency was also found: .89 for the total scale; Self-Kindness .84, Mindfulness .73, Common Humanity .77, Self-Judgment .82, Over-Identification .78 and Isolation .75. In the present study we found similar Cronbach's  $\alpha$  values. For the total self-compassion score, the Cronbach's  $\alpha$  value was .89. The subscales also revealed good internal consistency: Self-Kindness .80, Mindfulness .69, Common Humanity .86, Self-Judgment .82, Over-Identification .82, and Isolation .82.

*Acceptance and Action Questionnaire-II* (AAQ-II, Bond, Hayes, Baer, Carpenter, Orcutt, Waltz, & Zettle, 2011; Portuguese version by Pinto-Gouveia, Gregório, Dinis, & Xavier, 2012). The scale consists of 7-items and reflects the single domain of psychological inflexibility with higher scores indicating greater psychological inflexibility, or experiential avoidance. Subjects rate how true each statement is for them on a 7-point *Likert* scale ranging from 1 (never true) to 7 (always true). By inverting the items, one can obtain a measure of psychological flexibility, which was the domain used in this study. Therefore, in the present study, higher scores represent higher levels of psychological flexibility. In their study, Bond and colleagues (2011) found a Chronbach's alpha mean of .84, across six samples (ranging between .78 and .88). In the Portuguese version of this instrument authors obtained a Chronbach's alpha of .90. In the present study, a high value of internal consistency was also found,  $\alpha = .93$ .

## 2.4. Analytical Strategy

Data analysis was conducted using the *Statistical Package for Social Sciences* (SPSS, version 22.0 for Windows). A chi-square was computed to investigate if differences between clinical and non-clinical groups resulted from gender differences on distribution of subjects for both samples. To test differences between groups in the set of variables under study, namely non-clinical vs clinical samples and male vs female, Multivariate Analyses of Variance (MANOVA) were performed. In order to explore specific gender differences on the subscales of self-compassion (the only multidimensional variable), Student t-tests were used. The moderator effect of gender in the relationship between self-compassion, and its subscales, psychological flexibility and depressive symptoms in adolescents, was analyzed using hierarchical multiple regressions. Moderation occurs when the nature of the relationship between the predictor variable and the criterion variable differs in its strength or sign, in the presence of a third variable, the moderator. Statistically, a moderating effect would be seen if any regression coefficient of the interaction term was statistically significant (Hayes, 2013).

## 3. Results

### 3.1. Differences between non-clinical and clinical samples

Clinical and non-clinical groups were equivalent regarding gender distribution [ $\chi^2_{(2)}=.362$ ;  $p=.547$ ], so differences between clinical and non-clinical groups did not result from gender differences on distribution of subjects for both samples.

A one-way between groups multivariate analysis of variance (MANOVA) was performed to explore differences between clinical and non-clinical samples in our set of dependent variables: depressive symptomatology, overall *self-compassion* (total score on SELF-CS), and *psychological flexibility*. Preliminary assumption testing was conducted to check for normality, linearity, univariate and multivariate outliers, homogeneity of variance-covariance matrices, and multicollinearity, with no serious violations noted.

Results showed a statistically significant difference between clinical and non-clinical samples on the combined dependent variables:  $F_{(3, 409)} = 38.66, p < .001$ ; Wilks' Lambda = .78; partial eta squared = .221.

When the results for the dependent variables were considered separately, the three variables reached a statistical significance, using a Bonferroni adjusted alpha level of .017: *self-compassion*,  $F_{(1, 411)} = 63.29, p < .001$ , partial eta squared = .133; *psychological flexibility*,  $F_{(1, 411)} = 44.18, p < .001$ , partial eta squared = .097; *depressive symptomatology*,  $F_{(1, 411)} = 113.24, p < .001$ , partial eta squared = .216.

An inspection of the mean scores indicated that in clinical sample we found lower levels of *self-compassion* ( $M = 13.74, SD = 0.60$ ) than in non-clinical sample ( $M = 18.67, SD = .153$ ), as well as lower levels of *psychological flexibility* ( $M = 21.68, SD = 1.88$  vs  $M = 34.55, SD = .476$ ). In the variable measured by the CDI, *depressive symptomatology*, subjects from clinical sample reported higher scores ( $M = 25.32, SD = 1.21$ ) than subjects from non-clinical sample ( $M = 12.04, SD = .307$ ).

### 3.2. Gender Differences in depressive symptomatology, self-compassion and psychological flexibility

To explore gender differences in the same set of dependent variables (depressive symptomatology, overall *self-compassion*, and *psychological flexibility*) another MANOVA was performed. Preliminary assumption testing was conducted to check for normality, linearity, univariate and multivariate outliers, homogeneity of variance-covariance matrices, and multicollinearity, with no serious violations noted.

Results showed a statistically significant difference between males and females on the combined dependent variables:  $F_{(3, 409)} = 16.65, p < .001$ ; Wilks' Lambda = .89; partial eta squared = .109.

When the results for the dependent variables were considered separately, the three variables reached statistical significance, using a Bonferroni adjusted alpha level of .017: *self-compassion*,  $F_{(1, 411)} = 19.88, p < .001$ , partial eta squared = .046; *psychological flexibility*,  $F_{(1, 411)} = 36.26, p < .001$ , partial eta squared = .081; *depressive symptomatology*,  $F_{(1, 411)} = 43.76, p < .001$ , partial eta squared = .096.

An inspection of the mean scores indicated that boys reported slightly higher levels of *self-compassion* ( $M = 19.23, SD = 2.82$ ) than girls ( $M = 17.81, SD = 3.35$ ), as well as higher levels of *psychological flexibility* ( $M = 37.23, SD = 9.36$  vs  $M = 31.49, SD = 9.53$ ). In the variable *depressive symptomatology*, measured by the CDI, females reported higher scores ( $M = 14.56, SD = 7.02$ ) than males ( $M = 10.24, SD = 5.60$ ).

#### 3.2.1. Gender Differences in Self-Compassion subscales: Self-Kindness, Mindfulness, Common Humanity, Self-Judgment, Over-Identification and Isolation

Being these differences noted, were conducted further analyses in order to test specific differences in *self-compassion* subscales. Means and standard deviations for the total sample and t-test differences between males and females are presented on Table 1. Regarding the subscales, no significant differences for *Self-Kindness* and *Mindfulness* were found. Girls presented slightly higher results on the subscale *Common Humanity*, and presented significantly higher means on *Isolation*, *Self-Judgment* and *Over-Identification* than boys.

**Table 1.** Gender Group differences in Self-Compassion sub-scales

Variables	Total (N = 413)		Girls (n = 249)		Boys (n = 164)		t
	M	SD	M	SD	M	SD	
<i>Self-Kindness</i>	2.62	0.79	2.64	0.78	2.59	0.80	.629
<i>Mindfulness</i>	2.78	0.76	2.76	0.71	2.80	0.83	-.462

<i>C. Humanity</i>	2.70	0.83	2.80	0.82	2.56	0.84	2.842*
<i>Self-Judgment</i>	2.56	0.92	2.76	0.91	2.27	0.87	5.480***
<i>Over-Identif.</i>	2.54	0.93	2.80	0.86	2.16	0.89	7.548***
<i>Isolation</i>	2.62	0.95	2.83	0.91	2.32	0.93	5.519***

\* $p \leq 0.05$ , \*\*\* $p \leq 0.001$ .

### 3.3. Analysis of Moderation

Taking into account the observed differences by gender, hierarchical multiple linear regressions were conducted to clarify the role of the gender, verifying the possibility of the existence of a moderating effect of gender in the relationship between *self-compassion* (SELF-CS), its subscales, as well as *psychological flexibility* (AAQ-II) and *depressive symptomatology* (CDI).

Before carrying out the analysis of moderation, the values of the predictor variables were standardized to reduce potential multicollinearity problems and so that interpretation of intercepts of the model was more simplified (Marôco, 2010). We also proceeded to the creation of a *dummy variable* for gender and interaction terms were created between each of the variables in study (*self-compassion* and its factors, *psychological flexibility*) and *gender* (*dummy variable*). To test the effect of the interaction term between the predictors (*self-compassion* and its subscales, and *psychological flexibility*) and moderator (*gender*) in the criterion (total CDI), eight separately moderation analyses were performed, using multiple regressions. Sequentially, the predictor was introduced in a first step; in a second step the moderator (*gender*) and in a third step the multiplicative term between the predictor and the moderator (interaction term). Afterwards, a graph in SPSS to better show the association between the variables was generated.

#### 3.3.1. Study of the Moderating Effect of Gender in the Relationship between Self-Compassion (total score of SELF-CS) and Depressive Symptomatology in Adolescents

Hierarchical multiple linear regressions were conducted to study the moderating effect of gender in the relationship between overall *self-compassion* and adolescents' depressive symptomatology. Although overall *self-compassion* ( $\beta = -6.84$ ;  $p < .001$ ) and *gender* ( $\beta = -1.71$ ;  $p < .001$ ) were predictive of *depressive symptomatology*, no significant interaction effect was found ( $\beta = -.65$ ;  $p = .065$ ).

The same analyses were conducted for the six subscales of SELF-CS (*Common Humanity*, *Mindfulness*, *Self-Kindness*, *Self-Judgement*, *Isolation*, *Over-Identification*). Although the first two steps of the models for the subscales *Self-judgment* ( $\beta = .589$ ,  $p < .001$ ; *gender*:  $\beta = -.168$ ;  $p < .001$ ), *Isolation* ( $\beta = .607$ ,  $p < .001$ ; *gender*:  $\beta = -.162$ ;  $p < .001$ ) and *Over-Identification* ( $\beta = .565$ ;  $p < .001$ ; *gender*:  $\beta = -.129$ ;  $p < .005$ ) were predictive of *depressive symptomatology*, in the third step of the model no significant interaction effect between these variables and gender was found. On the contrary, the three positive subscales yield a positive interaction effect with gender, and their results are described below.

#### 3.3.2 Study of the Moderating Effect of Gender in the Relationship between Common Humanity (SELF-CS subscale) and Depressive Symptomatology in Adolescents

Gender was examined as a moderator of the relationship between *Common Humanity* and *depressive symptomatology*, through a multiple hierarchical linear regression.

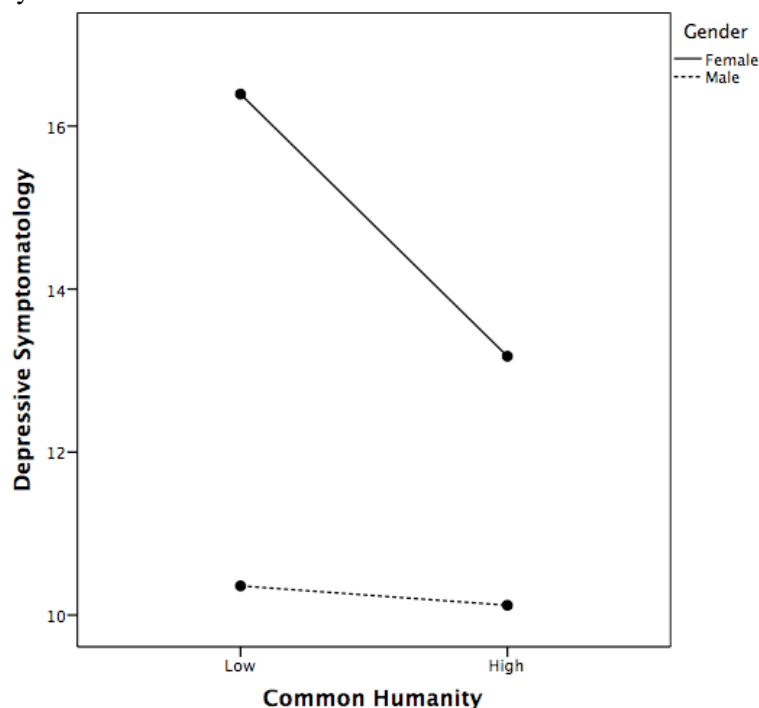
In a first step, *Common Humanity* was entered resulting in a statistically significant model, [ $R^2 = .019$ ,  $F_{(1,411)} = 8.161$ ,  $p < .001$ ]. In the second step, the variable *gender* originated a statistically significant model [ $R^2 = .130$ ,  $F_{(2,410)} = 30.695$ ,  $p < .001$ ]. Both *Common Humanity* and *gender*, isolatedly, were predictors of depressive symptomatology (*Common Humanity*:  $\beta = -.140$ ,  $p = .004$ , *gender*:  $\beta = -.336$ ,  $p < .001$ ) (cf. Table 2). In the third step of the regression, the interaction term was inserted, producing a statistically significant model, with a significant increase in  $R^2$  [ $R^2 = .154$ ,  $F_{(3,409)} = 24.754$ ,  $p < .001$ ] and, therefore, observing an increase in the variability explained with regard to depressive symptomatology. A significant interaction effect was found ( $\beta = .201$ ,  $p = .001$ ) (cf. Table 3), explaining 15,4% of the variance in depressive symptomatology.

This statistically significant coefficient of the interaction term indicated that the slope that predicts changes in depressive symptomatology according to the level of *Common Humanity* differed significantly depending on gender.

**Table 2.** Regression coefficients for the three steps of the hierarchical multiple regression with *Common Humanity* (CM), Gender and the interaction term ( $N = 413$ )

Model	Predictors	<i>R</i>	<i>R</i> <sup>2</sup>	<i>F</i>	$\beta$	<i>t</i>	<i>p</i>
1	Common Humanity	.140	.019	8.161	-.140	- 2.857	.004
2	Common Humanity	.361	.130	30.695	-.186	- 4.003	.000
	Gender				-.336	- 7.226	.000
3	Common Humanity	.392	.154	24.754	-.314	- 5.269	.000
	Gender				-.328	-7.119	.000
	CM*Gender				.201	- 3.365	.001

In order to interpret the moderating effect of gender in the relationship between *Common Humanity* and depressive symptomatology, a graphic of the results was computed (cf. Figure 1). Taking into account the main effects, it was possible to observe that higher levels of *Common Humanity* relate to less depressive symptoms. Regarding the interaction effect, we can say that when *Common Humanity* is low, boys presented lower levels of depressive symptoms compared to girls. Moderation suggests that for the same level of *Common Humanity*, girls tended to have more depressive symptoms than boys.



**Figure 1.** Graphical representation of the gender moderator effect on the relationship between *Common Humanity* and depressive symptomatology

### 3.3.3 Study of the Moderating Effect of Gender in the Relationship between Self-Kindness (SELF-CS subscale) and Depressive Symptomatology in Adolescents

In a first step, *Self-Kindness* was entered as a predictor and, later, *gender* was entered. The variable *Self-Kindness* resulted in a statistically significant model, in the first step [ $R^2=.099$ ,  $F_{(1,411)}=45.014$ ,  $p<.001$ ]. The variable *gender* originated, in step 2, a statistically significant model

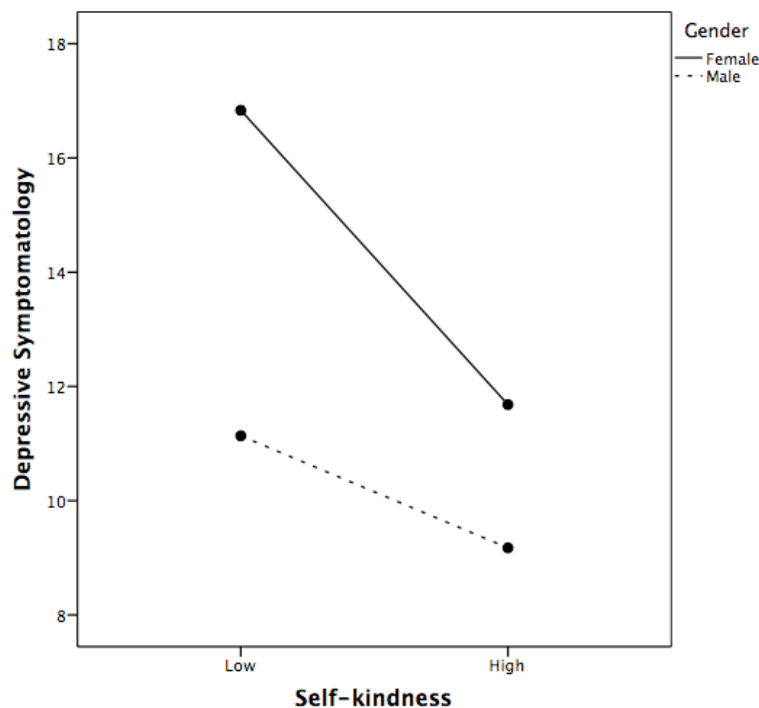


$[R^2=.201, F_{(2,410)}=51.631, p<.001]$ . In the third step of the regression, the interaction term was inserted, producing a statistically significant model, with a significant increase in  $R^2$  [ $R^2=.233, F_{(3,409)}=41.478, p<.001$ ] and, therefore, observing an increase in the variability explained with regard to depressive symptomatology in adolescents. Both *Self-Kindness* and *gender*, isolatedly, were predictors of depressive symptomatology (*Self-Kindness*: $\beta=-.314, p<.001$ , *gender*: $\beta=-.320, p<.001$ ) (cf. Table 3). The analysis of the interaction term suggested the presence of a moderating effect of *gender* in the relation between *Self-Kindness* and depressive symptomatology ( $\beta=-.327, p<.001$ ) (cf. Table 3). Thus, it was found that the interaction term was a significant predictor, explaining 23.3% of the variance in depressive symptomatology.

**Table 3.** Regression coefficients for the three steps of the hierarchical multiple regression with *Self-Kindness*, *Gender* and the interaction term ( $N = 413$ ).

Model	Predictors	R	R <sup>2</sup>	F	$\beta$	t	p
1	Self-Kindness	.314	.099	45.014	-.314	-6.709	.000
2	Self-Kindness	.449	.201	51.631	-.324	-7.340	.000
	Gender				-.320	-7.252	.000
3	Self-Kindness	.483	.233	41.478	-.327	-7.552	.000
	Gender				-.318	-7.341	.000
	Self-Kindness*Gender				.179	4.137	.000

A graphic of the results was computed (Figure 2) to understand the moderator effect of *gender* in the relationship between *Self-Kindness* and adolescents' depressive symptomatology. Regarding the interaction effect, we can say that when *Self-Kindness* is low, boys presented lower levels of depressive symptoms compared to girls. Moderation suggests that for the same level of *Self-Kindness*, girls tend to have more depressive symptoms than boys.



**Figure 2.** Graphical representation of the gender moderator effect on the relationship between *Self-Kindness* and depressive symptomatology



### 3.4.1 Study of the Moderating Effect of Gender in the Relationship between Mindfulness (SELF-CS subscale) and Depressive Symptomatology in Adolescents

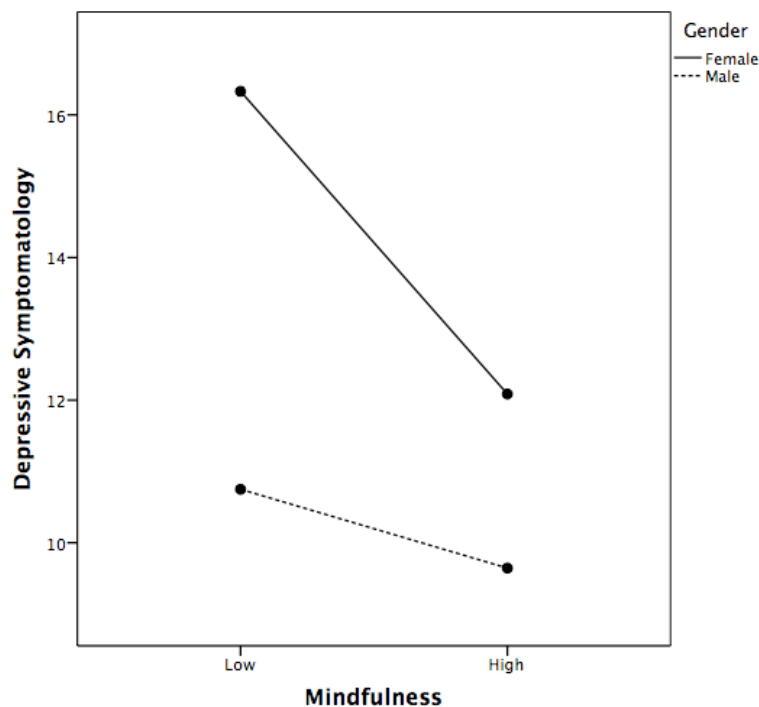
In a first step, *Mindfulness* was entered as a predictor and, later, gender was entered. The first step revealed a statistically significant model, [ $R^2=.067$ ,  $F_{(1,411)}=29.405$ ,  $p<.001$ ]. The variable *gender* originated, in step 2, a statistically significant model [ $R^2=.159$ ,  $F_{(2,410)}=38.883$ ,  $p<.001$ ]. In the third step of the regression, the interaction term was inserted, producing a statistically significant model, with a significant increase in  $R^2$  [ $R^2=.437$ ,  $F_{(3,409)}=32.259$ ,  $p<.001$ ] and, therefore, observing an increase in the variability explained with regard to depressive symptomatology in adolescents. Both *Mindfulness* and *gender*, isolatedly, were predictors of depressive symptomatology (*Mindfulness*:  $\beta=-.258$ ,  $p<.001$ , *gender*:  $\beta=-.304$ ,  $p<.001$ ) (cf. Table 4). In the third step of the model, the interaction term yield a significant interaction effect ( $\beta=.245$ ,  $p<.001$ ), explaining 19.1% of the variance in the depressive symptomatology.

**Table 4.** Regression coefficients for the three steps of the hierarchical multiple regression with *Mindfulness*, *Gender* and the interaction term ( $N=413$ ).

Model	Predictors	R	R <sup>2</sup>	F	$\beta$	t	p
1	Mindfulness	.258	.067	29.405	-.258	- 5.423	.000
2	Mindfulness	.399	.159	38.883	-.251	- 5.552	.000
	Gender				-.304	- 6.723	.000
3	Mindfulness	.437	.191	32.259	-.419	- 6.871	.000
	Gender				-.306	- 6.870	.000
	Mindfulness*Gender				.245	4.017	.000

In the same way as before, in order to understand the moderating effect of gender in the relationship between *Mindfulness* and adolescents' depressive symptomatology, a graphic of the results was computed (cf. Figure 3).

Regarding the interaction effect, we can say that when *Mindfulness* is low, males present lower levels of depressive symptoms compared to the female gender. Moderation suggests that for the same level of *Mindfulness*, girls tend to have more depressive symptoms than boys.



**Figure 3.** Graphical representation of the gender moderator effect on the relationship between *Mindfulness* and depressive symptomatology

### 3.3.4 Study of the Moderating Effect of Gender in the Relationship between Psychological Flexibility (measured by AAQ-II) and Depressive Symptomatology in Adolescents

A hierarchical multiple linear regression was conducted to study the moderating effect of gender in the relationship between *psychological flexibility* and adolescents' depressive symptomatology. Although *psychological flexibility* ( $\beta = -.665$ ;  $p < .001$ ) and *gender* ( $\beta = -.131$ ;  $p \leq .001$ ) were predictive of depressive symptomatology, the interaction term ( $\beta = .054$ ;  $p = .267$ ) did not yield a significant effect.

## 4. Discussion

While research suggests strong associations of self-compassion (Yarnell, Stafford, Neff, Reilly, Knox, & Mullarkey, 2015) and psychological flexibility (Hayes, Luoma, Bond, Masuda, & Lillis, 2006) with mental health and well-being, few studies have clarified the nature of their associations with depression. On the other hand, gender norms may hinder the development of skills of self-compassion (Yarnell, Stafford, Neff, Reilly, Knox, & Mullarkey, 2015) and, therefore, also the enhancement of psychological flexibility. To date, however, research and interventions have not taken into account the potential gender differences in the study of self-compassion and psychological flexibility, particularly in adolescents, and the role of gender in the relationship between these variables and depression.

As expected, we found significant differences in these variables between non-clinical and clinical samples. Depressed adolescents presented less levels of self-compassion and of psychological flexibility than non-depressed adolescents. This is in line with the existing literature, which present significant negative associations between self-compassion and psychological flexibility and psychopathology (Berking, Neacsu, Comtois, & Linehan, 2009; Deci & Ryan, 2000; Hayes, Luoma, Bond, Masuda, & Lillis, 2006), particularly with depression (Zettle & Rains, 1989).

In this framework, it is important to notice that the inclusion, in this study, of depressed adolescents, was very important in order to increase our knowledge about depression, because comparing clinical with non-clinical samples is the best way to characterize a disorder, ensuring that cases with high levels of depressive symptomatology and fulfilling diagnostic criteria were also included.

Another way to clear our understanding of a disorder is to explore gender differences. Since it is during adolescence that gender differences in the prevalence and incidence in depression tend to emerge (Hyde, Mezulis, & Abramson, 2008), to explore gender differences in variables that contribute to differentiate clinical and non-clinical subjects is of crucial importance, in order to develop interventions able to treat depression effectively and to prevent its recurrence. Regarding self-compassion, past research findings on gender differences have been inconsistent. Several studies have found that females have lower levels of self-compassion than males (Neff, 2003; Neff, Hsieh, Dejithirath, 2005; Neff & McGehee, 2010), while others have not found significant gender differences (Iskender, 2009; Neff, Pisitsungkagarn, & Hsieh, 2008; Neff & Pommier, 2013). Our results are in agreement with the earlier studies, revealing a significant difference in the levels of self-compassion among males and females adolescents, with girls reporting lower levels of overall self-compassion than boys.

The study of gender differences concerning the subscales of the SELF-CS, revealed that highly significant differences were observed in regard to negative subscales (Self-Judgment, Isolation and Over-Identification), showing the girls higher values than boys. As to the positive subscales, no significant differences were found (Self-Kindness and Mindfulness subscales) except for a low statistic significant difference in the subscale Common Humanity, where girls also presented higher results. To our knowledge, no studies of gender differences regarding these subscales were yet made, so this study represents a first step in understanding these gender differences in self-compassion. We hypothesize that the gender differences observed in levels of overall self-compassion (where girls report lower results of self-compassion), could be especially related with the fact that girls are more critical and punitive of themselves, over-identify more with their feelings/thoughts and show a greater tendency to relate their experience to a inadequacy of their self. The fact that boys and girls did not differ on the majority of positive sub-scales of self-compassion is not surprising, since these are self-regulatory strategies that need adequate training to be promoted, and the promotion of these strategies is not characteristic of the Portuguese educational and cultural contexts, where educators tend to be

excessively critical and punitive. Given this issue, these results cannot be generalized to other cultural environments, and must be replicated in other cultures.

All the variables in study are predictors of depressive symptomatology. Overall, self-compassion and its negatives subscales (Self-Judgment, Isolation and Over-Identification), as well as psychological flexibility, were predictors of depression, although gender did not moderate the strength of these relationships. However, for the positive subscales of SELF-CS, we found a moderator effect of gender. The data suggest that the interaction with gender was significant for the relationships between the subscales of Self-Kindness, Common Humanity and Mindfulness, and depressive symptomatology. As levels of Mindfulness, Common Humanity and Self-Kindness increased, depressive symptoms decreased for both genders, but in a more pronounced way for girls. This suggests that the enhancement of the skills of Mindfulness, Self-Kindness and the sense of Common Humanity could be especially important for girls and that it may protect them from depression.

Regarding psychological flexibility, our results suggested gender differences in adolescents. Therefore, boys presented significantly higher scores of psychological flexibility than girls. Psychological flexibility was further shown to be a negative predictor of depressive symptomatology, which is in line with the differences observed in our study between depressed and non-depressed adolescents. Regarding moderation analyses, gender did not show a moderator effect in the relationship between this psychological process and depressive symptomatology. Therefore, psychological flexibility was a predictor of depressive symptomatology, but in this relationship it was not found a buffering or exacerbating effect of gender. We believe that, in adolescence, the absence of this moderating effect of gender is not surprising. Taking into account the complexity, richness and importance of the psychological flexibility construct for mental health, we think that psychological flexibility is equally important for boys and girls in protecting them from depression. Additionally, at this developmental phase, psychological functioning patterns are not supposed to be very rigid. However, we expect to find a moderating effect of gender in adulthood, a time when psychological functioning patterns are already more rigid and women experience higher rates of depression, which may affect their adaptation to context demands. Future studies should continue to clarify the role of psychological (in)flexibility in depression, namely as a predictor or a consequence of depressive symptomatology (Kashdan, & Rottenberg, 2010), and mainly in adolescence because these studies are lacking in literature.

### **Implications for Research**

The present research represents an important step in understanding gender differences in depression among adolescents. It studies variables that can explain the greater tendency of women to present depressive symptomatology and develop depression. Additionally, this study analyzes gender differences in SELF-CS dimensions for the first time. To our knowledge, this is also the first available research that explores the relationships between psychological flexibility, gender and depressive symptomatology in adolescents.

The results obtained are in line with research that suggests that interventions for depression should not only target psychological symptoms but should also underlying processes, such as psychological flexibility and emotional regulation strategies associated with self-compassion.

Gender differences found in this study showed the importance of the training of self-regulatory skills associated with self-compassion and of the enhancement of skills enrolling psychological flexibility, once they seem to have a protective impact on depression. On the other side, the training of skills of self-compassion seem to be more important among girls, regarding the moderating effect of gender observed for the positive dimensions of SELF-CS.

These results, however, must be replicated using a larger clinical sample, and more researches are needed, including longitudinal designs treatment studies, and enrolling other important variables, such as sociodemographic ones, like age, and educational and cultural factors that can influence gender differences in self-compassion and psychological flexibility, like parental practices and cultural beliefs associated.

## References

- Apter, A., Kronenberg, S., & Brent, D. (2005). Turning darkness into light: A new landmark study on the treatment of adolescent depression. Comments on the TADS study. *European Child & Adolescent Psychiatry*, 14(3), 113–116. doi: 10.1007/s00787-005-0474-7
- Barnard, L. K., & Curry, J. F. (2011). Self-Compassion: Conceptualizations, correlates, & interventions. *Review of General Psychology*, 15 (4), 289-303. doi: 10.1037/a0025754
- Berking, M., Neacsiu, A., Comtois, K. A., & Linehan, M. M. (2009). The impact of experiential avoidance on the reduction of depression in treatment for borderline personality disorder. *Behavior Research and Therapy*, 47, 663–370. doi:10.1016/j.brat.2009.04.011
- Biglan, A., & Hayes, S. C. (1996). Should the behavioral sciences become more pragmatic? The case for functional contextualism in research on human behavior. *Applied and Preventive Psychology: Current Scientific Perspectives*, 5, 47-57. doi: http://dx.doi.org/10.1016/s0962-1849(96)80026-6
- Bond, F. W., & Bunce, D. (2003). The role of acceptance and job control in mental-health, job satisfaction, and work performance. *Journal of Applied Psychology*, 88 (6), 1057-1067. doi: 10.1037/0021-9010.88.6.1057
- Bond, F. W., Hayes, S. C., Baer, R. A., Carpenter, K. C., Guenole, N., Orcutt, H. K., Waltz, T., & Zettle, R. D. (2011). Preliminary psychometric properties of the Acceptance and Action Questionnaire – II: A revised measure of psychological flexibility and acceptance. *Behavior Therapy*, 42(4), 676-688. doi: 10.1016/j.beth.2011.03.007
- Castilho, P., & Pinto-Gouveia, J. (2011). Modelos de relação interna: Autocriticismo e autocompaixão. Uma abordagem evolucionária compreensiva da sua natureza, função e relação com a psicopatologia. (Unpublished doctoral dissertation). Faculty of Psychology and Educational Sciences, University of Coimbra, Coimbra, Portugal.
- Costa, P.T., & McCrae, R.R. (1980). Influence of Extraversion and Neuroticism on Subjective Well-Being: Happy and Unhappy People. *Journal of Personality and Social Psychology*, 1980(38), 668 – 678. doi: 10.1037/0022-3514.38.4.668
- Deci, E. L., & Ryan, R. M. (2000). The “what” and “why” of goal pursuits: Human needs and the self-determination of behavior. *Psychological Inquiry*, 11, 227–268. doi: 10.1207/S15327965PLI1104\_01
- DeNeve, K., & Cooper, H. (1998). The Happy Personality: A Meta-Analysis of 137 Personality Traits and Subjective Well-Being. *Psychological Bulletin*, 124(2), 197-229. doi: 10.1037/0033-2909.124.2.197
- DeVore, R. & Pritchard, M. (2013). "Analysis of Gender Differences in Self-Statements and Mood Disorders". VISTAS: Effective Counseling Interventions, Tools, and Techniques.
- Dias, P., & Gonçalves, M. (1999). Avaliação da ansiedade e da depressão em crianças e adolescentes (STAI-C2, CMAS-R, FSSC-R e CDI): estudo normativo para a população portuguesa. *Avaliação Psicológica: formas e contextos*, 4, 553-564.
- Donaldson-Feilder, E. J., & Bond, F. W. (2004). The relative importance of psychological acceptance and emotional intelligence to workplace well-being. *British Journal of Guidance and Counselling*, 32 (2), 187-203. doi: 10.1080/08069880410001692210
- Hayes, A. F. (2013). *Introduction to Mediation, Moderation, and Conditional Process Analysis. A Regression-Based Approach*. New York: The Guilford Press. doi: 10.1111/jedm.12050
- Hayes, S. C., Luoma, J. B., Bond, F. W., Masuda, A., & Lillis, J. (2006). Acceptance and commitment therapy: Model, processes and outcomes. *Behaviour Research and Therapy*, 44, 1–25. doi: 10.1016/j.brat.2005.06.006
- Hayes, S. C., Strosahl, K., & Wilson, K. G. (1999). *Acceptance and commitment therapy: An experimental approach to behavior change*. New York: Guilford Press.
- Hayes, S.C., Villatte, M., Levin, M. & Hildebrandt, M. (2011). Open, aware, and active: Contextual approaches as an emerging trend in the behavioral and cognitive therapies. *Annual Review of Clinical Psychology*, 7, 141-168. doi: 10.1146/annurev-clinpsy-032210-104449
- Hyde, J.S., Mezulis, A.H., & Abramson, L.Y. (2008). The ABCs of depression: Integrating affective, biological, and cognitive models to explain the emergence of the gender difference in depression. *Psychological Review*, 115(2), 291–313. doi: 10.1037/0033-295X.115.2.291
- Iskender, M. (2009). The relationship between self-compassion, self-efficacy, and control belief about learning in Turkish university students. *Social Behavior and Personality*, 37, 711–720. doi: 10.2224/sbp.2009.37.5.711
- Kashdan, T. B., & Rottenberg, J. (2010). Psychological flexibility as a fundamental aspect of health. *Clinical Psychology Review*, 30 (7), 865–878. doi: 10.1016/j.cpr.2010.03.001
- Kaufman, J., Birmaher, B., Brent, D., Rao, U., & Ryan, N. (1996). *The schedule for affective disorders and schizophrenia for school-age children and lifetime version (version 1.0)*. Pittsburgh, PA: Department of Psychiatry, University of Pittsburgh School of Medicine.



- Kessler, R. C., Avenevoli, S., & Merikangas, K. R. (2001). Mood disorders in children and adolescents: An epidemiologic perspective. *Biological Psychiatry*, 49, 1002-1014. doi: 10.1016/S0006-3223(01)01129-5
- Kovacs, M. (1985). The Children's Depression Inventory (CDI). *Psychopharmacology Bulletin*, 21, 995-998.
- Kovacs, M. (1992). *Children's Depression Inventory Manual*. New York: Multi-Health Systems.
- Leary, M. R., Tate, E. B., Adams, C. E., Allen, A. B., & Hancock, J. (2007). Self-compassion and reactions to unpleasant self-relevant events: The implications of treating oneself kindly. *Journal of Personality and Social Psychology*, 92, 887-904. doi: 10.1037/0022-3514.92.5.887
- Levant, R. F. (2011). Research in the psychology of men and masculinity using the gender role strain paradigm as a framework. *American Psychologist*, 66, 765-776. doi: 10.1037/a0025034
- MacBeth, A., & Gumley, A. (2012). Exploring compassion: A meta-analysis of the association between self-compassion and psychopathology. *Clinical Psychology Review*, 32, 545-552. doi: 10.1016/j.cpr.2012.06.003
- Maroco, J. (2010). *Análise de Equações Estruturais: Fundamentos teóricos, Software e Aplicações*. Pêro Pinheiro: ReportNumber, Lda.
- Marujo, H. A. (1994). *Síndromas depressivos na infância e na adolescência* [Depressive syndromes in childhood and adolescence] (Unpublished doctoral dissertation). Faculty of Psychology and Educational Sciences, University of Lisbon, Lisbon, Portugal.
- Matos, A.P., Marques, C., & Salvador, M. C. (2015). *Translation, adaptation and study of the reliability and validity of the Schedule for Affective Disorders and Schizophrenia for School Aged Children-Present and Lifetime Version- Portuguese Version (K-SADS-PL-PT) for the Portuguese population*. Unpublished manuscript.
- Merry, S., McDowell, H., Hedrick, S., Bir, J., & Muller, N. (2004). Psychological and/or educational interventions for the prevention of depression in children and adolescents. *The Cochrane Database of Systematic Reviews* 2004, Issue 2. doi: 10.1002/14651858.cd003380
- Neff, K. D. (2003). Self-Compassion: An alternative conceptualization of a healthy attitude toward oneself. *Self and Identity*, 2, 85-101. Doi: 10.1080/15298860309032
- Neff, K. D. (2005). Self-compassion and psychological well-being. *PsycEXTRA Dataset*. doi:10.1037/e633942013-240
- Neff, K. D. (2009). The role of self-compassion in development: A healthier way to relate to oneself. *Human Development*, 52, 211-214. doi:10.1159/000215071
- Neff, K. D., & Germer, C. K. (2013). A pilot study and randomized controlled trial of the mindful self-compassion program. *Journal of Clinical Psychology*, 69, 28-44. doi: 10.1002/jclp.21923
- Neff, K. D., Hsieh, Y. P., & Dejitterat, K. (2005). Self-compassion, achievement goals, and coping with academic failure. *Self and Identity*, 4, 263-287. doi: 10.1080/1357650044000317
- Neff, K. D., Kirkpatrick, K. L., & Rude, S. S. (2007). Self-compassion and adaptive psychological functioning. *Journal of Research in Personality*, 41, 139-154. doi: 10.1016/j.jrp.2006.03.004
- Neff, K. D., & McGehee, P. (2010). Self-compassion and psychological resilience among adolescents and young adults. *Self and Identity*, 9, 225-240. doi: 10.1080/15298860902979307
- Neff, K. D., Pisitsungkagarn, K., & Hsieh, Y. (2008). Self-compassion and self-construal in the United States, Thailand, and Taiwan. *Journal of Cross-Cultural Psychology*, 39, 267-285. doi: 10.1177/0022022108314544
- Neff, K. D., & Pommier, E. (2013). The relationship between self-compassion and other-focused concern among college undergraduates, community adults, and practicing meditators. *Self and Identity*, 12, 160-176. doi: 10.1080/15298868.2011.649546
- Parker, G., & Roy, K. (2001). Adolescent depression: A review. *Australian & New Zealand Journal of Psychiatry*, 35(5), 572-580. doi: 10.1080/0004867010060504
- Pinto-Gouveia, J., Gregório, S., Dinis, A., & Xavier, A. (2012). Experiential Avoidance in Clinical and Non-Clinical Samples: AAQ-II Portuguese Version. *International Journal of Psychology and Psychological Therapy*, 12(2), 139-156.
- Raffaelli, M., & Ontai, L. L. (2004). Gender socialization in Latino/a families: Results from two retrospective studies. *Sex Roles*, 50, 287-299. doi: 10.1023/b:sers.0000018886.58945.06
- Reilly, E. D., Rochlen, A. B., & Awad, G. H. (2014). Men's self-compassion and self-esteem: The moderating roles of shame and masculine norm adherence. *Psychology of Men & Masculinity*, 15, 22-28. doi: 10.1037/a0031028
- Rottenberg, J. (2005). Mood and emotion in major depression. *Current Directions in Psychological Science*, 14, 167-170. doi:10.1111/j.0963-7214.2005.00354
- Rottenberg, J., Gross, J. J., & Gotlib, I. H. (2005). Emotion context insensitivity in major depressive disorder. *Journal of Abnormal Psychology*, 114, 627-639. doi: 10.1037/0021-843x.114.4.627

- Waugh, C. E., Thompson, R. J., & Gotlib, I. H. (2011). Flexible Emotional Responsiveness in Trait Resilience. *Emotion*, 11(5), 1059-1067. doi: 10.1037/e634112013-065
- Yarnell, L. M., Stafford, R. E., Neff, K. D., Reilly, E. D., Knox, M. C. & Mullarkey, M. (2015): Meta-Analysis of Gender Differences in Self-Compassion. *Self and Identity*, 14(5), 499-520. doi: 10.1080/15298868.2015.1029966
- Zettle, R.D., & Rains, J.C. (1989). Group cognitive and contextual therapies in treatment of depression. *Journal of Clinical Psychology*, 45(3), 436-445. doi: 10.1002/1097-4679(198905)45:3<436::aid-jclp2270450314>3.0.co;2-l

### **Acknowledgments**

We would like to express our gratitude to all the participants that made this study possible and to FCT – Fundação para a Ciência e a Tecnologia (Portuguese Foundation for Science and Technology) that funded the study. This work is funded by an individual doctoral scholarship (FRH/BD/84252/2012, “Depression in Adolescence: a new intervention program”), by ERDF – European Regional Development Fund through the COMPETE Program (operational program for competitiveness) and by National Funds through the FCT within project “Prevention of depression in Portuguese adolescents: efficacy study of an intervention with adolescents and parents” (PTDC/MHC-PCL/4824/2012).



# Cultural Aspects in the Content of Advertising Materials

*Stela Anca Radu, Alexandru Ioan Cuza University, Romania*

We are the same inside; it is the culture that makes the difference  
Confucius

## Abstract

Every society acknowledges the importance of culture, around which the way of social interaction is determined. Culture is part of each one of us, but in a different way for each person and individualization is provided primarily by the society that we belong to. Advertising has become one of the most powerful voices that we hear today. The information in advertisements is constantly directed at consumers and although we are accustomed to different types of promotion, advertising in general represents an increasingly hidden attraction. The power to draw our attention is rooted in aspects within us, such as the culture of the society that makes us unique. In terms of marketing practices, all economic activity can be turned into a failure when advertising underestimates cultural issues while it can be a real success if they are properly promoted. This paper is an analysis of the cultural aspects which are given importance in promotion, highlighting the ones by which Romanians are identified in advertising messages. The topic is presented both theoretically and from empirical studies, with practical examples from the media, describing the most important cultural stereotypes in Romania and their impact.

**Keywords:** advertising, cultural aspects, marketing, cultural stereotypes, persuasion

## Defining culture

Culture is one of the most difficult terms to define, given that this term varies significantly depending on the place, time and the society referred to. In an attempt to define the term researchers have reached tens of definitions attributed to culture. Among the most recognized definitions can be found the one offered by Geert Hofstede who asserts that culture is “the collective programming of the mind which distinguishes the human group from another group [...] and which includes human value systems” (Hofstede, 1980). Another suggestive definition for this term is offered by the anthropologist Ralph Linton who alleges that “culture is the configuration of learned behaviors and their results, whose components are shared and transmitted by members of a given society” (Linton, 1968).

Summarizing these two vies, we can affirm that culture is the way of life of any society. So every society is distinguished by the observance of the culturally created “rules”. The so-called cultural norms are actually answers of the society members to the needs that they met over time. These rules meet both the psychological and physiological needs of individuals in a society. And the need to comply with these habits comes from the desire to receive a favorable response to the individual needs and of course, to be well understood and accepted in the society. Although each person is unique and has different needs, culture is like a set of encodings accepted between the members of society and practically culture exists just through the group of people. Each individual’s needs have changed in time, and thereby culture has a different shape now in comparison to the one existing few decades ago. So although culture is transmitted from generation to generation, it is slightly modified according to the needs faced by the society. Because culture is not only about the artistic side of society, from a sociological point of view,

---

This work was co-funded by the European Social Fund through the Human Resources Development Sectorial Operational Program 2007 – 2013, project number POSDRU/187/1.5/S/155397, project title “Towards a New Generation of Elite Researchers through Doctoral Scholarships.”

Phd student, Sociology department, Alexandru Ioan Cuza University, Iași, Romania; radustelaanca@yahoo.ro

but also about attitudes, learned convictions, behaviors, beliefs and so on. Thus, culture differentiates us and identifies us at the same time.

But although we are constantly in a process of enculturation, from the moment of our birth, culture does not involve genetic acquisition, but rather actions, established and transmitted beliefs over the personal evolution, through symbols. Symbols are actually the beliefs by which we appreciate what is good compared to what is wrong. If the symbols would be taken individually, as such, they come short of meaning and their value in the society is offered by the people in specific circumstances.

Each society is distinguished by offering a different meaning for certain behaviors or beliefs, *i.e.* each society is distinguished by its symbolism as a component part of the culture. The cultural environment is of paramount importance in the process of building the personality and behavior guidance, so that the individual in its growth accepts the basic culture (culturalism), with certain rules, roles, and specific statutes.

These individualizations actually end up being differences between the people of a society compared to another. So we get to the indications of the anthropologist Ralph Linton, who said that no inhabitant of the sea will realize the water unless he accidentally reached the surface, explaining the fact that no individual of a society is aware of his own symbolism until he gets in contact with individuals of other societies. So the most important factor for the cultural dispersion are the members of a society. Practically, people are carriers of cultural symbols with which they identify. As means of transmitting the culture, we mention books, art objects, various documents, from the most mundane to the most important and in a special way after the Second World War, telecommunications.

### **Culture's role in marketing**

Culture is a component part in all domains. In the economic field, that we will analyze, it is well known that economic activity will fail miserably when the cultural factor is not taken into account. It is well known the situation when McDonalds, a company renowned for its Big Mac beef burger, decided not to serve their specialty in India, a country where Hindu followers consider cow a sacred animal and do not eat beef. The same decision was taken concerning the pork meat because the Muslim community do not consume this type of meat. Thus, Big Mac burger became Chicken Maharajah Mac. More than that, considering that more than 40% of the Indians are vegetarians, McDonalds decided to ignore its traditional menu and to open 100% vegetarian restaurants in India. This is a very good example of rebranding according to the culture of the people to which a business is directed. An ignoring of the Indian culture would have been a disaster for the beef burger sales in this case.

If there are countries where the consumers' preferences seem to be the same, but a close analysis of the communities reveal many differences entailed by their cultural back ground. This is why culture occupies an important place in the marketing analyzes (Sasu, 2006). As Philip Kotler defined it, "marketing is a social and managerial process by which individuals or groups of individuals get what they need and want by creating, offering and exchanging products and services with some value" (Kotler, 1998). Nowadays marketing came to be practiced in all areas, so that "it affects everyone's life, being the means by which the standard of living is offered" (Kotler, Saunders, Armstrong, Wong, 1998). Marketing is fundamentally not merely selling products, ideas and services but focus on fully satisfying the interests of customers and society, going beyond the needs of customers in the theory and practice of marketing and resulting a growth in the standards of living, as Philip Kotler stated in his speech held in Romania in 2005.

A great importance to marketing is given to culture, which has a strong impact on the marketing activities, because in order to meet the needs of a people one must first study their culture, by analyzing its components, and we are recalling here the material culture, religion, social structure, aesthetics, education, tradition and more especially the values promoted by the society members.

Of all the marketing activity, we will focus on promotion, where culture plays a crucial role. The promotion policy, also called communication policy, involves a series of actions aiming to inform the target market regarding products or services offered by a company. The promotion policy is accomplished through various means of marketing, like advertising, sales promotion, public relations and personal selling, each of these containing several distinct components. It is a great mistake to design a promotional material before knowing the cultural specificities of the society to which it is addressed because, first of all, the members of the society will ignore the material first, and the company will get to be ignored as a result of the inappropriate message transmitted. Colors and images, symbols and sounds employed in creating advertising are means of communication and using them right creates bridges between the company and the auditory or the opposite, a bad use creates walls, sometimes indestructible.

Thus, any promotional action will require a person's cognitive as well as emotional ability, abilities settled by cultural, educational, or religious determinants. If we analyze the advertising from few years ago with the one from nowadays, we can easily see that today we have more attractive advertising than in the past. We will also notice that the message is emotional rather than objective, the latter attribute's strictly informative role being placed somewhere in the background, the main purpose now being to persuade the customer to buy.

### **Cultural stereotypes found in Romanian advertisements**

#### *Patriotism*

Romania, like other societies, preserves the cultural aspects which identify it particularly among other cultures. Romania's culture is strongly supported by intellectuals, artists in various fields, but also by learned convictions, behaviors, and beliefs specific to the Romanian society.

Romania is a country where patriotism has always been a sensitive aspect of the society and has been manifested constantly in situations where this side was invoked. And we can see the trend of various promotional materials in highlighting the patriotic Romanian constituents deeply rooted in the culture of the country.

Elements such as the flag, the three colors, rustic places where two elders are present, various foods cooked "like grandma does" induce a good mood to the adults in a special way. Analyzing the contents of such messages, we see that behind this induced emotion there is the appeal to a specific need in the hierarchy of needs realized by Abraham Maslow, *i.e.* the need of belonging, which can mean the need for peace, happiness, fulfillment together with the loved ones, need that is satisfied by fulfilling some basic needs.

Basically, products in advertising, which actually provide physiological needs (food, clothing), are associated with a perfect picture symbolizing happiness and stability. This image captures the attention of many Romanian precisely by the fact that many of the adults had a childhood when they went to their grandparents and the rustic houses were a common place where one could receive affection, peace. The environment provided by the grandparents was a warm, friendly, calm one, which promoted health, freedom, and safety. Cultural elements such as patriotism are often invoked in advertising clips and they generate positive emotions and people have more confidence in the product presented through the prism of the emotion just released.

#### *Family*

Another cultural aspect identified in advertising is family. Romania is a country where family has a special status, especially when the family includes children. The Romanian culture often associates happiness with marriage, considering marriage a fulfillment. The Proverbs "He who marries later marries badly" or "Marriage is the excellent school of life" prove once again the importance of marriage in the Romanian society. The advertisements frequently invoke happy young with a product included in the category of physiological needs. Messages transmitted in advertisements relating this

topic is that a family manages to achieve happiness with a simple yogurt with probiotic that could improve health, with an electric household appliance that gives them more time, with a trip that offers them relaxation, a car offering greater comfort or even a bank loan wherewith they can buy anything. (Voicu, B.; Voicu, M., 2007). Family, a cultural element apparently less important, manages to involuntarily draw the attention of an entire society. Married people inspire greater confidence in the Romanian society and they are treated with more respect. When an advertising material delivers images or messages in which family occupies a particular place, the product enjoys more credibility and advertised products are more easily observed among the others.

### *Elders*

Along with the family, the representation of elders in advertising is frequently found. Old age has many sides with positive and negative aspects. But the old age in the Romanian culture is associated with wisdom, so that “He who hasn’t an old man has to buy one” because “Elders are sowing and young people collect the fruits”. Grey hair is considered a reason for elation and with the passing of the years one is considered wiser and not a person who needs help, required by his weak and burdened by years body (Catoiu, Teodorescu, 1997).

The message transmitted by commercials having old age as background is that elders will better know the difference between quality and blemish, they will know when there is right time to cultivate the land, they will know what turns a regular snack into a culinary delight, and they will always have answers to any question. Thus, the combination of old age and wisdom found in Romanian culture can be easily identified in advertising and it can be quite often found in promoting products of ordinary use. So we are told that we will be wise if we will buy the oil used in a presentation of an old woman, and the food will be as tasty as the grandmother’s. Surely we will choose wisely when we will buy the building materials recommended by an old master in the commercial. The advice of an old physician on some food items for children in an advertisement will provide good confidence in the advertised product.

### *Conclusions*

Culture has always been a fulcrum of the society. Influences of culture on society are countless and society members will always be touched by the culture in which they were born and developed. Culture is a way of life that we live and which is constantly developing, but the synthesis of cultural influences is extremely difficult since the conceptual structure is not clearly defined in the circumstances to which we referred. Culture is in constant evolution, and when we speak of values, attitudes, norms, it is more difficult to establish limitations clearly and that is why studying culture involves a plurality of sciences such as sociology, anthropology, psychology. Romania possesses a wonderful culture with roots deep in the consciousness and personality of each member of the society. Romanians enjoy the customs and values offered as legacy for generations and all these cultural symbols are experienced as a special feeling in the Romanian society. Family, elders, patriotism are Romanian cultural symbols, and it is a normal thing for the Romanians to react positive when they are invoked. When in the promotion for products that ensure their basic needs are emphasized social and cultural values, norms of the society, the opportunity of reliving emotions, those products will certainly have more success among the members of the society. So quite often, we buy advertised products based on this simple detail but with a special value, namely cultural aspects behind the promoted products.

### **References**

- 1.Catoiu, I.; Teodorescu, N, *Comportamentul consumatorului. Teorie și practică (The consumer's behavior. Theory and practice)*, Bucharest, Editura Economică, 1997.
- 2.Chelcea, L., “Cultură și dezvoltare: perspectiva antropologiei culturale” (Culture and Development: the Perspective of Cultural Anthropology), in *O nouă provocare: Dezvoltarea socială (A new challenge: The Social Development)*, C. Zamfir, L. Stoica, (eds.) Iași, Editura Polirom, 2006.
- 3.Cingel, Drew P.; Kremar, Marina, “Predicting Media Use in Very Young Children: The Role of Demographics and Parent Attitudes”, *Communication Studies*, 64:4, 2013, pp. 374-394.

4. Giddens, Anthony, *Sociologie (Sociology)*, Bucharest, Editura Alfa All, 2007.
5. Hofstede, G., *Culture's Consequences: International differences in work-related values*, Beverly Hills, Sage Publications, 1980.
6. Kotler, Ph.; Saunders, J.; Armstrong, G.; Wong, V., *Principiile marketingului (The principles of Marketing)*, Bucharest, Editura Teora, 1998.
7. Laureana, Urse, „Calitatea vieții și cultura” (The Quality of Life and Culture), *Calitatea vieții*, XIX, no. 1-2, 2008, p. 33-51.
8. Linton, Ralph, *Fundamentul cultural al personalității (The Cultural Fundament of Personality)*, Bucharest, Editura Științifică, 1968.
9. Maya Götz, Dafna Lemish, Amy Aidman, Heysung Moon „*Media and the make-believe worlds of children: when Harry Potter meets Pokémon in Disneyland*” Mahwah, New Jersey, Lawrence Erlbaum Associates Publishers, 2005.
10. McCarthy Jerome, Perreault W.D. *Basic Marketing*, Homewood, Illinois, Irwin, 1984.
11. McCracken, Grant, „Culture and Consumption: A Theoretical Account of the Structure and Movement of the Cultural Meaning of Consumer Goods”, *Journal of Consumer Research*, Vol. 13, 1986.
12. Prutianu, S. *Inteligența Marketing Plus (The Marketing Plus Intelligence)*, Bucharest, Editura Polirom, 1999.
13. Sasu, C. “Influence of culture on decisions in marketing mix in the international context”, *Management & Marketing*, vol. 1, Nr. 3, 2006.
14. Voicu, B., Voicu, M., *Valori ale românilor: 1993-2006. O perspectivă sociologică (Values of the Romanians: 1993-2006. A Sociological Perspective)*, Bucharest, Institutul European, 2007.

# The Role of Urban Spaces in Women's Safety: A Case Study in Najafabad City, Iran

*Mehdi Momeni*

*Department of Geography & Urban Planning, Faculty of Humanities, Najafabad Branch, Islamic Azad University, Najafabad, Isfahan, Iran. E-mail: momeni100@gmail.com*

## Abstract

Public space in a city is the stage of action in people's daily life and is defined in contrast to the private life space. Safety is one of the main elements of social welfare and women as human resources of each society have an effective role in promoting a society's progress and goals and this aim is not possible unless they feel safe in public venues. Providing safety, as one of the main needs of humans, has always been a concern in all societies and communities. In this regard, preventing crimes through environmental designing in cities is a modern viewpoint which has attracted much attention and is considered a purposeful approach for decreasing crimes in cities and is extremely influential in improving life quality and increasing citizens' satisfaction and as a result improving social welfare and society's health. The aim of this research was to investigate public space in Najafabad city and its influence on women's safety in this city. The research method in this research is applied or pragmatic regarding its aim and descriptive-analytic and survey regarding its nature. In this research, the factors affecting women's safety were assessed and analyzed using a questionnaire. The obtained results revealed that 56% of the respondents believe that the quality of urban spaces in order to provide safety for women in Najafabad city requires organization and planning.

**Keywords:** women's social safety, organizing urban space, Najafabad City, Iran

## Introduction

Big cities make lonely and vulnerable societies and the continuation of the current trend of living in big cities demonstrates a warning environment and space which in itself increases the feeling of insecurity (Abazari, 2000).

In addition, urbanization helps offenders and criminals remain anonymous and unknown (Amir Kafi, 2007). The social class gap and migration lead to the antisocial personality of this group (Tankis, 2009) and access to industrial drug increases the false courage and violence of susceptible individuals. These bring about insecurity (Kolahchian, 2003). Nowadays, the issue of women's social security should be looked upon beyond the actual real spaces and environments since living with new communicative and information technologies has become two-special and various forms of insecurity are evolving and expanding into virtual spaces (Sedigh, 2000). Insecurity phenomenon has two dimensions of objective (the victim) and subjective (judgment about the security of the region aspects (Bahreini, 2000). In other words, the difference between safety or security and feeling secure is that everyone needs security (Khosh Far, 2000) but feeling secure is beyond security (Mir Arab, 2000). Sources providing the sense of security are different for different individuals in the society. The resources are effective at the three levels of macro, intermediate, and micro levels (Babaei, 2011). Feeling secure is different in the opinions of individuals in the community (Bemanian, Mahmoodi Nezhad, 2010) and the factor of gender has a different interpretation of this concept (Navidnia, 2009). A city is a cultural- physical set which is shaped based on needs, activities and behaviors of the residents (Salehi, 2009). In recent years, the mission of urbanization in the field of improving and promoting the level of safety and security has focused on designing spaces and appropriate planning for urban lands and usages (Amir Kafi, 2007). In this regard, we can point to CPTED approach in designing and planning urban environments, landscape, and spaces which efforts to promote safety and security in the city through which contributes to the



feeling and sense of safety and security of residents complying with and observing certain standards of construction and landscape of physical environments (Hosseini, 2011).

The purpose of this study is to determine different intertwined factors which create unsafe and insecure urban spaces for women in Najaabad city.

The main question of this research is to understand how to study the women's security in Najaf Abad city by recognizing the condition of urban spaces in this city. The hypothesis of the research is that there is a relationship between the degree of social support and feeling of social security of women in Najaf Abad city. The second hypothesis is that there is a relationship between safety and security of the location of residence and the women's feeling and sense of social security in Najaf Abad city.

### **Review of the literature**

The feeling of social security is closely related to human mental and psychological comfort and is one of the main components of social welfare. Researchers in the fields of humanities and social sciences have dealt with the critical issue of the feeling of social security and each of them has studied it from a different angle.

Stanko (1992) in his researches on fear of crime in American society found that fear of crime among women (fear of being raped) is three times more than men.

Bell (1998) in his research with the subject of women and social security in Australia came to the conclusion that women in general fear cases such as going out at night, waiting at a bus stop, driving alone at night, and dead alleys.

Investigations by Jackson (2004) in the UK with the subject of social and cultural explanations of fear of crime have shown that at least some aspects of the concept of vulnerability can explain different levels of fear of crime and insecurity among age and gender groups.

The research studies conducted by Reno and Lavery (2009) in the American society with the subject of investigating the socio-economic status of families in feeling safe and secure referred to the diverse needs and concerns of women in the low social strata of families and mentioned their main concern in occupational and economic conditions.

Bonnete and Pascal's studies (2007) in France with the subject of comparative evaluation of the degree of women and girls' social security in the neighborhoods of Paris show that women fear living in insecure places known as problematic neighborhoods and feel insecure about them.

Weaver (2010) studies in the US with the subject of the effect of the relationship between others' social support and the degree of feeling secure have shown that social support is related to women's sense of security.

In the research by Nabavi et al. (2008) in Iran in Ahwaz with the subject of investigating the effect of socio-economic status and ethnic identity on the sense of social security, it was shown that socio-economic status is related to the sense or feeling of social security.

Kamran and Ebadati's studies (2009) in Tehran with the aim of studying the socio-economic factors affecting women's sense of peace and comfort and social security indicated that socio-economic status is related to the sense of social security.

Rahimi (2006) in his master's thesis on the spatial analysis of crime in the city of Karaj identified crime-prone areas and predicted neighborhoods where crime is likely to happen.

Rezazadeh (2010) in an article about urban space underlying social justice examined physical status of cities and reviewed factors underlying the absence of women in urban spaces and areas.

Heshmati (2003) in his master's thesis on defensible space studied urban designing strategies to prevent and reduce crime in urban spaces and areas and dealt with guidelines for reducing crime.

Alireza Nezhad and Saraee (2009) in an article about women in public arena studied public spaces available for urban women and with reference to the cultural, and social changes over time and their effects on women in urban areas dealt with the situation of urban spaces and demanded the necessity of addressing these areas and organization and changes in urban public spaces with special attention to the needs of women regarding women's occupational and academic progresses and achievements.

Mehdizadeh (2009) in an article with the subject of tourism in urban distressed contexts and neighborhood safety emphasized the necessity of providing security in these contexts regarding the importance of tourism in these areas.

Salehi (2007) dealt with the role of environmental designing and planning in safe and secure urban parks and provided strategies for increasing security with reference to appropriate and suitable urban designs and plans.

In an article on urban spaces underlying social justice, Rezazadeh (2010) studied the physical situation of cities and studied the factors contributing to and underlying the absence of women in cities.

In an article entitled evaluation of environmental security in regional parks, Almasi and Ansari (2010) studied women's views on the safety and security of different spaces in parks and studied their subjective appreciation of using certain pathways by getting their impressions and classifying spaces and provided necessary suggestions for reformations and modifications.

Sarookhani and Navidnia (2007) in their research about family and residence in Tehran have shown with various studies that safety and security of residential neighborhood has effective and significant effects on family's social security.

### **The realm of the research**

Najaf Abad city, the capital city of Najaf Abad province of about 3750 hectares, is located 25 km west of Isfahan on the way of Isfahan to Khuzestan (Shafaghi, 2002). This city is 32 degrees and 38 minutes north latitude and 51 degrees and 22 minutes east of the Greenwich meridian altitude and 1600 meters above sea level (Momeni, 2011).

### **Materials and method**

This study is practical based on the objective and descriptive, analytical, survey based on its nature and cross-sectional based on the time of data collection. The data used in this study is related to the year 2014.

The data collection method is attributive field-survey and the database information is also available. To study the degree of security and safety of women in Najaf Abad, researcher-made questionnaire and interview techniques are used. In this study, to evaluate effective indexes and factors affecting women's safety, SPSS software was used. To determine the validity of the study, structural validity is used by referring to experts and specialists. Factor analysis is used to assess the validity of the research. Cronbach's alpha coefficient is also used to determine the reliability of indicators. The obtained responses are analyzed using descriptive statistics and inferential statistics is used to confirm the hypothesis.

### **Research findings**

In this study, random sampling method was used for selecting the sample. Cochran methodology was used to determine the sample size (Hafeznia, 2011).

$$n = \frac{t^2 pq / d^2}{1 + \frac{1}{N} (\frac{t^2 pq}{d^2} - 1)}$$

In this formula, the value of t is 1.96, and p and q values are 0.5 and N is the population of the city. The sample size was estimated as 50 people.

To measure the reliability of the questionnaire, Cronbach's alpha coefficient was used by SPSS software. The alpha coefficient was obtained to be 0.77. The questionnaire has acceptable reliability.

**Table 1.** Calculating Cronbach's alpha

Variable	Appropriate substructures	Investment risk	Natural potential (4seasons)	Cronbach's alpha
Number of items	12	8	8	<b>28</b>
Cronbach's alpha	0.67	0.78	0.86	0.77

## Research Results

Based on the results of this study, the age of the respondents is as table (2) shows:

**Table 2.** Frequency distribution of the respondents' age variable

Age	Percentage	Frequency	Varied percentage
15-29	14	28	28.6
30-49	21	42	42.9
Over 50	14	28	28.6
Total	49	98	100
Unanswered	1	12	
Total	50	100	

In terms of education, the majority of respondents (23 percent) have high school diploma (Table 3).

**Table 3.** Frequency distribution of the respondents' level of education

Level of education	Frequency	Percentage	Varied percentage
Elementary	5	10	10
Secondary	5	10	10
High school diploma	23	46	46
Bachelor degree and higher	17	34	34
Total	50	100	100

In terms of jobs, the majority of respondents (42 percent) were housewives (Table 4).

**Table 4.** Frequency distribution of the respondents' job variable

Job	Frequency	Percentage	Varied percentage
Self-employed	10	20	20.8
Student	3	6	6.3
Employee	14	28	29.2
Housewife	21	42	43.8
Total	48	96	100
Unanswered	2	4	
Total	50	100	

In response to the question of (To what extent are you satisfied with the security of your region in the city of Najaf Abad?), 46/0% of the respondents chose moderate option and 2.0% chose the choice very little.

In response to the question (In your opinion, to what extent women feel safe in their urban spaces?), 52/0% of the respondents chose the option average and 18/0% of them chose the option little.

In response to the question (How much does the lighting of passages influence women's feeling of security in Najaf Abad city?), 54/0% of the respondents chose the option high and 8/0% chose little and 8/0% chose medium.

In response to the question (How much does the structure of urban space affect women's feeling of security in the city Najaf Abad?), 56/0% of the respondents chose the option high and 4/0% chose the option little.

In response to the question (To what extent is adherence to appropriate women's cover effective in their sense of security?), 72/0% of the respondents chose the option very high and 2/0% of them chose the option little.

In response to the question (What impact does the hours of being at streets have on women's feeling of security?), 60/0% of the respondents chose the option high and 6/0% of them chose the option little.

In response to the question (To what extent does the quality of urban spaces need organization and planning for women's security?), 56/0% of the respondents chose high and 2/0% of them chose the option very little.

In response to the question (Do you feel secure while being in parks?), 62/0% of the respondents chose the option nearly and 34/0% of them chose yes.

### **Conclusion and hypothesis testing**

Security has objective and subjective dimensions. Objective dimensions can be described based on statistics of crime and crime incidents. However, subjective dimensions which are understood as the interpretation of feeling secure are highly influenced by psychological factors.

Observing designing standards in the residential environment decreases crime and crime incidents in a neighborhood. However, this is not enough to improve the residents' sense of security. It seems that the degree of the socialization of the space and the degree of the residents' sense of belonging to it are other environmental and psychological factors which have a strong influence on the sense or feeling of security.

Environmental quality is provided when the areas that are at the risk of crime are exposed to residents. To achieve this quality, the most important factor in designing is the placement of buildings and activity areas in relation to areas that are prone to crime so that each space is under the control of special controllers. Controllers may be a group or an individual who have a sense of responsibility towards that space or environment.

The scale of the space is also another very important environmental factor affecting the level of security in urban environments. Endless large scale spaces reduce social monitoring. In addition, with the increase of individuals' distance (especially pedestrians) from each other, the possibility of getting help from others decreases. For this purpose and for making large-scale urban spaces such as parks or open spaces between buildings secure, specific measures should be considered. These measures include proper lighting of space, creating different and mixed activities in space, as well as placing it under surveillance and monitoring.

It seems that landscape designers and planners should innovate creativities to increase residents' social cohesion in addition to adopting an appropriate approach to reduce crime rate in space through which crime incidence decreases. Therefore, residents will feel more security and peace.

#### *The first hypothesis*

##### **The null hypothesis**

There is no significant relationship between the level of social support and women's feeling of social security in Najafabad city.

##### **The contrasting hypothesis**

There is a significant relationship between the level of social support and women's feeling of social security in Najafabad city. According to the result of Tav-kendall correlation coefficient and the obtained significance level ( $p=0/000$ ) which is less than 0/05, regarding the relationship between the two variables of social support and feeling secure, with 95% confidence and 5% error it can be said that there is a statistically significant relationship between these two variables. The hypothesis of the study based on the relationship between the two variables of social support and a sense of social security was

confirmed and the null hypothesis based on the lack of relationship between these two variables was rejected.

### *The second hypothesis*

The null hypothesis

There is no significant relationship between security of residence place and women's feeling of social security in Najafabad city.

The contrasting hypothesis

There is a significant relationship between security of residence place and women's feeling of social security in Najafabad city.

According to the results of Gamav correlation, the obtained significance level was ( $p=0/049$ ) which is less than  $0/05$  and regarding the relationship between the two variables of place of residence and social security, with 95% confidence and 5% error, it can be said that there is a statistically significant relationship between these two variables. Therefore, the hypothesis of the study based on the relationship between the two variables of the security of residence place and a sense of social security was confirmed and the null hypothesis based on the lack of relationship between these two variables was rejected.

### **References**

- Abazari, Yousof; Sadeghi Neisani, Soheila, and Nafiseh Hamidi. 2008. Feeling of insecurity in women's experience of daily life. *Women's Research Journal*. Vol.6. No.1. Tehran.
- Amir Kafi, Mehdi. 2007. Studying the feeling of security and factors affecting it. Tehran. *Iran's Social Sciences and Research Journal*. No.18.
- Babaei, Kobra. 2011. Organizing urban spaces with emphasis on women's security, A case study in region 7 in Isfahan. Master's thesis, Islamic Azad University of Najafabad.
- Bemanian, Mohammad Reza; and Hadi Mahmoodinezhad. 2010. Security and urban designing. The Country's Municipality Organization Publications. Tehran.
- Tankis, Fren. 2009. Space, City, and Social Theories, Social Occasions, and Urban Forms. Translated by Hamid Reza Parsi and Arezoo Aflatooni. Tehran University Publications. Tehran.
- Hafeznia, Mohammad Reza. 2011. Research Methodology in Social Sciences. Samt Publications. Tehran.
- Khosh Far, Gholamreza. 2000. Studying the degree of feeling secure and people's cooperation in establishing security. *Political and Economical Journal*. No. 164.
- Shafaghi, Siroos. 2002. Isfahan's Geography. Isfahan University Publications. Isfahan.
- Salehi, Esmaeel. 2008. Features of secure urban space. Study and Research Center. Tehran.
- Sedigh Sarvestani, Rahmatollah. 2000. Social factors and obstacles of insecurity in Iran. Development and public security conference. Security council of the country's ministry. The country's Ministry Publications. Tehran.
- Kolahchian, Mahmood. 2004. Strategies for the development of social security. Social security conference's articles. The social council and guiding of police forces. Vol 1. No1. Isfahan.



Momeni, Mehdi. 2011. Iran's human geography. Islamic Azad University of Najafabad Publications. Isfahan.

Mirarab, Mehrdad. 2000. A brief look at security concept. Political Sciences Journal. Vol 3. No.9. Tehran.

Navidnia, Manizheh. 2004. An introduction to social security. Strategic Studies Research Publications. Vol. 6.

# Integrated Marketing Communications (IMC): Extended Version or New Idea?

*Helpris Estaswara, Universitas Pancasila, Indonesia*

## Abstract

Development of IMC conceptualization in the academic domain has reaped many pros and cons since its inception in the early 1980s. Although the meaning of IMC has become similar among its main thinkers, it is still identified academics who consider IMC as an extended version of advertising and marketing communications disciplines. Responding to these meaning differences on IMC there is a third party which is important to be heard, IMC educators. Given that educators are one of the stakeholders who are not only responsible for education of the next generation of practitioners and academics, but also define the IMC in classroom, the educator is thus at the vanguard of the deployment of IMC disciplines to the next generation. What is taught in the classroom is reflected in the syllabus made. The syllabus itself is a manifestation of teaching and the main guideline in the teaching-learning process. Based on that idea, the syllabi review includes a written record of how lecturers accept, adopt and implement IMC which is an important method of documenting the development of IMC teaching. This study was conducted *firstly*, to explain the meaning of IMC that is taught in Magister program in Indonesia which is traced from the syllabus as a lecture material; and *secondly*, to explore the gap between state of the art of IMC conceptualization and the understanding of IMC subjects taught in masters programs in Indonesia. A qualitative approach is used in this study and five syllabuses of masters programs in major universities in Jakarta used as a sample in which it is assumed that the universities and its educators in Jakarta, both public and private, are the trend setters of educational models in Indonesia.

**Keywords:** IMC, Syllabus, Magister Program, and Educator.

## Introduction

More than a decade after its inception as a concept of marketing communications, IMC (Integrated Marketing Communications) continues to receive much attention from both practitioners and academics (Estaswara, 2008a). In fact, after more than three decades popularity of IMC increasingly globalized. Furthermore, 10 years after its origin, IMC has been regarded as “*the dominant marketing concept of the 1990's*” (Harris, 1998:91). Then, in 1993 IMC also said to be “*one of the hottest topics in the whole marketing arena*” (Schultz, 1993:20). Moreover, IMC recognized as “*the major communications development of the last decade of the 20th century*” (Kitchen & Li, 2005:20).

However, issues concerning the conceptualization of IMC on the scope and function in communication disciplines and its relation in today's marketing, business and market is still being debated (Estaswara, 2008a). Since its initiation in the early 1980s, pros and cons adorn the history of IMC development, particularly in academic domain (Spotts, *et. al.*, 1998; Kitchen & Schultz, 2001; Cornelissen & Lock, 2001; Kitchen, *et. al.*, 2004; Kliatchko, 2005; Kitchen & Li, 2005; Estaswara, 2008a).

Results of literature review identified two groups of academics that are in pros and cons. First is the group that rejected IMC as a new discipline, such as Cornelissen and Lock (1996), Shimp (2003), and Duncan (2005). The second group are those who support, such as Kitchen and Schultz (1999) and other thinkers from various countries, such as Kerr (Australia), Li (China), Jones and Brignell (United Kingdom), Holm (Sweden), Kim and Han (South Korea), Kliatchko (Philippines), and many more.

On the other hand, there is a third group that is rarely raised in discussion of developing IMC as a new discipline, namely IMC educators (Kerr *et. al.*, 2008). After all, educators are *avant-garde* of IMC deployment to the next generation that is IMC practitioners and academics in the future. Educators have

the intellectual rights to vote or siding with the pro or con or even a combination of both. What is taught in the classroom reflected syllabus made. Syllabus is a manifestation of teaching and become the main guideline in the teaching-learning process. This idea is similar with Parkes and Harris (Kerr *et. al.*, 2008:519) concerning the essential functions of syllabus, as follows:

“First, as a contract, specifying grading and administrative procedures; Second, as a permanent record of how the course was structured and run with credit hours earned, date of offer, prerequisite courses, course objectives and content; and Third, as a learning guide, offering planning and management skills, access to course and campus resources, etc.”

In addition to teaching guideline and manifestation of curriculum, syllabus can sharpen or significantly contribute to the future of profession as well as help identify discipline’s research agenda and development of its theory (Mayo & Miciak, 1991). However, the main criticism addressed to the content of syllabus spin on issues that educators are too slow in introducing innovations in the fields of practices and the relevant latest research (Kerr, *et. al.*, 2008).

In Indonesia, syllabus – called “*Satuan Acara Perkuliahan*” (Weekly Teaching Class or SAP) otherwise “*Garis-garis Besar Pedomam Pengajaran*” (Outlines of Guidelines for Teaching or GBPP) – is generally less up-to-date with the latest development of theory and actual practices. This is caused by the low interest of educators in researching and many courses are taught in one semester, often the course is not relevant to the field of study that they do.

Understanding IMC based integration concept is multidimensional, either related to management of communication tools, brand relationship building based on digitally database, the use of interactive media, as well as involvement of multi-audiences. So, this complexity are more appropriately taught at the level of master program. It is given that master students are expected to understand the advanced concepts or deeper understanding than undergraduate students who only recognize concepts generally.

Based on above explanation, then syllabus review which is a written document of how educators accept, adopt and implement IMC is an important method of documenting IMC teaching in the master program in Indonesia. Thus, this study was conducted to:

1. What IMC is being taught at the masters program in Indonesia that were traced from the syllabus as a reflection of lecture material, whether an extended version of advertising campaigns and marketing communications (inside-out) or a new idea which is more advanced (outside-in)?
2. How far the gap between the state of the art of IMC conceptualization and the understanding of IMC subjects taught in master program in Indonesia?

## Literature Review

### 1. Meaning of Integration in IMC

Many literatures write that the IMC concept evolved since the 1980s. However, the actual concept of integration has long emerged. Integration concept first appeared in early 1930s in advertising and marketing literatures. It means, the need for integration in the context of marketing has actually been around since nine decades ago. Although the idea of integration between the sales team and advertising in order to obtain optimal effect cannot be implemented at that time, it is because the limitation of information and communication technology (Spotts, *et. al.*, 1998).

In 1960s, Levitt has been initiated that in overall business process should be an effort of integration between all departments of the organization. Departing from this idea, some thinkers then began to echo the concept of integration in business and management (Spotts *et. al.*, 1998). Further development, the concept of integration then introduced in the promotion area (marketing communications), as disclosed by Davis (Spotts, *et. al.*, 1998:214) as follows: “*To achieve optimum return from promotional*

*expenditures, there is a need to integrate the contribution of each of the various forms of promotion, the allocation of funds among them, their respective messages, timing and format.”* In 1990s, concept of communication integration has become a new idea, at least when Northwestern University began to adopt the integrated approach to their curriculum (Mazur & Miles, 2007; Estaswara, 2008a).

Although the concept of integration has been generally accepted, but conceptually IMC remains an academic debate, even though in the later development of various IMC definitions have demonstrated a common understanding (Estaswara, 2008a; Kliatchko, 2008; Kerr, *et al.*, 2008). So far, IMC definition from 4As is still widely referenced, although it only focuses on tactical integration of IMC elements. IMC definition from 4As can be described as follows (Duncan & Caywood, 1996:14):

“A concept of marketing communications planning that recognizes the added value of a comprehensive plan that evaluates the strategic roles of a variety of communication disciplines – general advertising, direct response, sales promotion, and public relations – and combines these disciplines to provide clarity, consistency, and maximum communication impact.”

IMC definition from 4As is the first definition of IMC, where various revisions later performed. The concept of audience then expanded from consumers to all stakeholders. Long-term outcomes such as the significance of brand and relationships building has also been introduced in IMC. Strategy is also expressed as one of the most important concepts in IMC that is contained in almost all definitions that were made after 2004 and corrected the earlier ideas that consider IMC merely tactical activities. Finally, the scope of communication has expanded into all messages and information resources to consumers or potentially accepted by consumer (Estaswara, 2008a, Kliatchko, 2005, 2008; Kerr *et. al.*, 2008; Kitchen & Schultz, 2009).

**Table 1****Basic idea of IMC based on emergence of IMC definition over time**

Source: Estaswara, H. (2008), *Think IMC!: Efektivitas komunikasi untuk meningkatkan loyalitas merek dan laba perusahaan*. Jakarta: Gramedia, pp. 100.

AUTHOR(S)	YEAR	BASIC IDEA OF IMC
4As	1989	Coordination and consistency of messages and communication channels ('one sight, one sound'); Synergy of the various elements of communication based on comprehensive planning; IMC as a concept
Schultz <i>et. al.</i>	1991	Inclusion of customers and prospects; Creating a behavior response; Relationship building and customer loyalty; IMC as a process
Duncan	1992	Strengthen the idea of coordination; Creating a perception response of brand value
Nowak & Phelps	1994	Strengthen the idea of consistency, coordination, and behavioral responses
Duncan	1994	Profitable relationships; Expanding the scope of audience from consumers to stakeholders
Schultz & Schultz	1998	Strategic business processes; Extending the idea of brand communication; Measurability; More specific on multiple markets - including external and internal audiences
Burnet & Moriarty	1998	Integrated marketing and communications roles
Smith <i>et. al.</i>	1999	Strengthen the scope of communications, marketing, and business in the context of IMC
Shimp	2000	Reinforce the basic idea of IMC that is developed from 1989 to 1994
Percy, Rossiter & Elliot	2001	Supports the idea of communication coordination and message consistency
Duncan	2002	Revealed cross-functional processes in organization in order to reinforce IMC as a business process
Kliatchko	2005	More detail in explaining the relationship between audience, channels and its relation to measurability based on the idea of Schultz and Schultz (1998)

Reflection over a decade of IMC research and practice is the development of thinking through the improvement of definition and redefinition. Various ideas were developed addressed on issues concerning definition of IMC concept, for instance explanation the meaning of IMC, phases and processes in the IMC development, and various issues regarding implementation of IMC, such as organizational structure, measurement of IMC program, leadership in IMC activities, and so on (Estaswara, 2008a, Kliatchko, 2005, 2008; Swain, 2004).

On one side, there were academics who argued that IMC is not a “theory” because it is less accurate in scientific explanation. IMC is considered as a form of simplification and formal solutions to the needs of marketing communications that cannot be implemented realistically where the logic building is merely rhetoric as an attempt to justification of its existence (Cornelissen & Lock, 2001; Estaswara, 2008a). On the other hand, there are academics who consider that dynamics of the development of IMC concept become a new discipline is common. As states by Gould (2000:22):

“IMC as a major strategic concept is not much different from other marketing or management concepts, methodologies or strategies that have arisen (e.g. the marketing concept, the product lifecycle, brand equity, or total quality management). All have an evolutionary, discursive and behavioral history in which the particular concept is defined and redefined, often many times. Never is there complete agreement on the meaning or value of any single concept.”

One thinker who cons, Duncan assumes that the IMC is not a new concept, although it acknowledges that integration has not been done because at that time the process and the technology do not exist. Duncan (2002:2) once wrote: “*although the concept of IMC – managing customer relationships – is not new, the processes used in managing IMC are new.*” In general, an overview of different understandings in the development of IMC as a discipline reflected in the table below.

**Table 2**  
**The development of IMC as a discipline**

Source: Kerr *et. al.*, (2008), An inside-out approach to integrated marketing communication: an international analysis. *International Journal of Advertising*, 27(4), pp. 517.

IMC IS A NEW DISCIPLINE	IMC IS NOTHING NEW
Similar to other new disciplines which define and redefine themselves (Gould 2000)	Ambiguous definition and lack of rigorous theory (Cornelissen & Lock, 2000)
All new disciplines evolve from other disciplines (Gould 2000)	Repackaging of existing marketing concepts (Spotts <i>et al.</i> , 1998; Cornelissen & Lock, 2000)
The concept of IMC is not new, but the processes of managing it are (Hartley & Pickton 1999; Duncan 2002)	The concept of IMC is not new (Cornelissen & Lock, 2000)
Strategy is what separates IMC – marketing communication in past not strategically coordinated marketing communications (Duncan & Caywood 1996; Schultz 1996)	Advertising agencies have always coordinated other communication
Result of changes in communication, technology, consumers and the marketplace (Schultz <i>et al.</i> 1993)	Result of economic imperative by advertising agencies to address the shift of marketing communication dollars and expansionist move by Schools of Mass Communication (Spotts <i>et al.</i> 1998)
IMC can use financial value and behavioural to evaluate performance (Zahay <i>et al.</i> 2004)	measures Marketing communication is traditionally evaluated through attitudinal and communication measures (Keller 1996)

Differences in understanding of definitions and concepts is wondering thinkers whether IMC is really a new concept or just extended version of what has been widely practiced, with the additional of unlimited access to communication resources. This is the basic idea in this study to determine what IMC is taught in the classroom.

## 2. Inside-out dan Outside-in Approach

Inside-out approach is the first step in implementing IMC. This phase is said to be a *tactical coordination of marketing communications*, because organization is less noticed customers, prospect, consumers, and their needs and relatively modest in integrating various communication elements, such as advertising, publicity, sponsorship marketing sales promotion, personal selling, and point-of-purchase communication or IMC only be understood as a promotional activity (Schultz & Schultz, 2004). The notion of “inside-out” approach, according to Kerr, *et. al.*, (2008:513) say that: “*It begins with planning that takes place ‘inside’ the organization, and identifies what it hopes to achieve. This is commonly based on what has always been done ‘inside’, before trying to sell it ‘outside’ to the customer.*” Moreover, Schultz and Barnes (1995:28), reveals that “inside-out” approach is the traditional advertising campaigns, or said to be *approaching marketing communication planning from the needs of the marketer.*

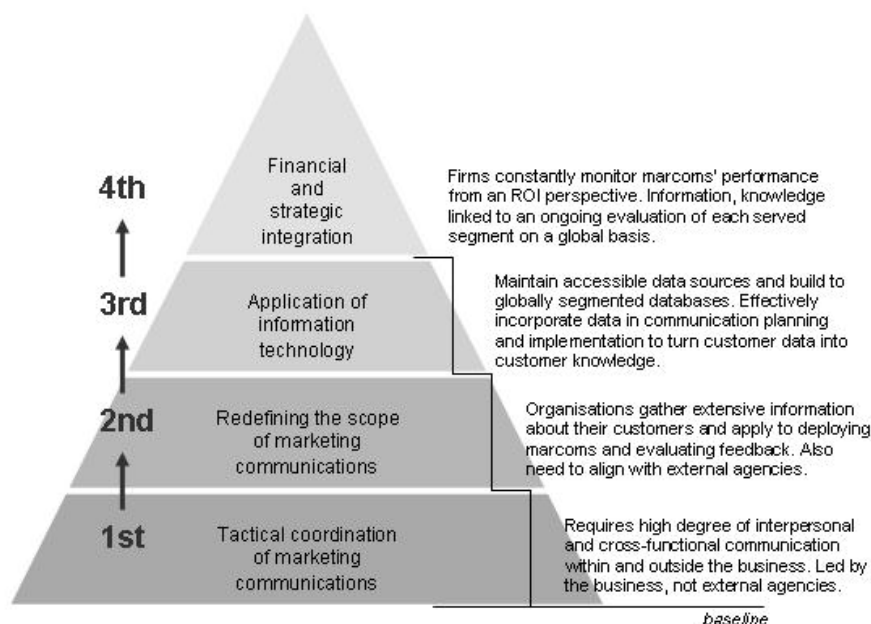


Next stages is an outside-in phase. Idea of “outside-in” approach in IMC first introduced in 1993 (Schultz *et. al.*, 1993; Kerr *et. al.*, 2008). According to Schultz and Barnes (1995:35) “outside-in” approach is IMC campaigns where approaching marketing communication planning from the needs of the consumer or customer. Related to the stages of IMC development, in the second phase organization started to pay attention to the consumer and the need of customer experience study. Company is actively watching what consumers want to see and hear, when, where, and through what media. At this stage, company has great consideration to market research in supporting communication activity (Estaswara, 2008). Company also began searching for a new and innovative brand contact point via interactive media as an alternative to traditional media (Shimp, 2003). All communication elements should be “one voice”. Coordination is essential to produce a strong brand image and creating purchasing action. It can be said, the main idea of second phase is the internal support to external activities (Schultz & Schultz, 2004; Schultz & Kitchen, 1999, 2000; Kitchen & Li, 2005; Schultz, 1996; Swain, 2004).

Furthermore, the third stage is called *application of information technology*. Estaswara (2008:64) revealed that the company is begun to invest information resources in order to build segmented database and restructured the organization toward customer-focused or customer-driven. Companies transform consumer-based organization via the application of communications and information technology and database management to improve its performance in the creation of customer loyalty. It is done by building a data base of customers and prospects as well as the effectiveness of brand contact points that able to provide a clear, precise, and fast measurement on customers purchasing behavior. Thus, a variety of brand communication programs in order to strengthen customer’s loyalty towards the brand equity can be founded on an evaluation-based information technology (Schultz & Schultz, 2004; Schultz & Kitchen, 1999, 2000; Kitchen & Li, 2005).

**Figure 1**  
**Stages of IMC Development**

Source: Kitchen & Li (2005), Perceptions of integrated marketing communications: a Chinese ad and PR agency perspective. *International Journal of Advertising*, Vol. 24(1), pp. 57.



While the final stage is *financial and strategic integration*, essentially the company has been evaluating all IMC investments have been made, in addition, it is also evaluating the effectiveness and efficiency of overall program as a basis for IMC strategic planning in the next period (Schultz & Schultz, 2004). At this stage the company has invested information resources to build a segmented customer database information. Thus, if the communication resources have been invested and measured in accordance with

the actual behavior of customers, financial returns at the end can be achieved (Schultz & Kitchen, 1999, 2000; Estaswara, 2008).

### 3. Key IMC Concepts (*Outside-in Approach*)

#### a. Strategic Integration

Strategic IMC is a consumer-oriented IMC campaigns. That is, overall implementation of IMC should be based on the needs and wants of consumers. IMC must start from the needs of consumers, then manage relevant message through synergy of communication tools and media. On the other hand, strategic also represents communication ideas that are consistent with the development of IMC as a management process to strengthening proposition of the brand. It means, IMC is not a traditional marketing communication process, but it is related to communication management, message and brand, as well as the needs of its customers. Concept of strategy is also expressed as the most important concept in IMC understanding that is contained in almost all definitions are made after 2004. This understanding has corrected earlier ideas that consider IMC merely tactical activities. This idea also shows that IMC is not inside-out communication that combines different elements of communication in the perspective of company (Schultz & Schultz, 2004; Duncan & Caywood, 1996; Kitchen & Schultz, 1999, 2000; Kitchen & Li, 2005; Kliatchko, 2005, 2008; Estaswara, 2008a, 2008b).

#### b. Message Integration

All thinkers agreed that message in IMC should be “one voice”. No matter what elements of promotion mix and media communications bring to play (traditional media and “new media”), creation of harmony in communication messages based on “one voice”, “one spirit” or “one look” should be met, which in turn will strengthen brand image (Phelps *et. al.*, 1996; Duncan & Caywood, 1996; Kitchen & Schultz, 1999; Kliatchko, 2005, 2008; Estaswara, 2008a, 2008b). Thus, the message in IMC is a brand message (Schultz, 1998a; Madhavaram *et. al.*, 2008; Kitchen, *et. al.*, 2004; Estaswara, 2008a, 2011, 2012).

#### c. Synergy

IMC never be separated from the term “synergy”. Synergies can be interpreted as a phenomenon whereby the combined effect of multiple activities exceeds the sum of their individual effects (Belch & Belch, 2004; Madhavaram *et. al.*, 2008). In IMC synergy, interactivity, strategic consistency and complementary are the constructs to be considered. According to Duncan and Moriarty (1998), interactivity refers to the process of communication between customer, brand, and company. While strategic consistency refers to the coordination of all messages in brand communication and the creation of effect of one spirit, one voice, and one look. Then complementary is an attempt to strengthen effect of individual communication (Brown, 1997; Estaswara, 2011). This understanding also shows a seamless, classless or equality of various communication elements. It means that general advertising, direct response, sales promotion, public relations, and others elements have the same status. Through IMC, the synergy of all elements of communication can be met by company, which in turn will increase the performance of the brand. It is because synergies guarantee a variety of elements in brand communication activities are mutually strengthens each other (Brown, 1997; Belch & Belch, 2004; Duncan & Moriarty, 1998).

#### d. Brand Equity

Duncan (2002:7) once wrote that IMC is the process of managing relationship with customers based on brand value. Duncan emphasized the value of the brand in order to build brand equity and focused on the creation of profit through mutual relationship over the time with customers. This idea focuses more on the issue of customer loyalty anchored in the model of two-way communication in its efforts to creating brand value. On the other hand, Madhavaram, *et. al.*, (2008:69), also said that “*IMC has become an integral part of brand strategy that requires extensive brand development activities within firm before beginning any external brand communications efforts.*” Madhavaram *et. al.*, were focused IMC on strengthening internal branding first before starting external brand activities. Thus, IMC and brand management that aims to create brand equity is an important idea in the concept of IMC. Quoting

Madhavaram *et. al.*, (2008: 69), IMC said, “as an integral part of a firm’s overall brand equity strategy.” While brand equity strategy believed as “a set of processes that include acquiring, developing, nurturing, and leveraging an effectiveness-enhancing, high-equity brand or portfolio of brands.” Then, Madhavaram *et. al.*, (2008:70) concludes that: “...effective IMC potentially enhances the effectiveness of the firm’s portfolio of brands, and hence, could positively influence brand equity.” Therefore, IMC aims to create brand equity, where communication serves as foundation for creativity in the creation of brand message, relationship building between company (internal public), brand and its customer, as well as other relevant audience.

#### **e. Multi-Audiences**

Following Kliatchko (2008:25), to be audience-focused in IMC means that, “the entire process of developing integrated brand communication programs places the target audience at the core of the process in order to effectively address their needs and wants through meaningful dialogue and by establishing long-term and profitable relationships with them.” Target audience in IMC is all relevant public, both consumers and non-consumers or multi-audiences. Relevant public include internal and external audiences significant for the company (Kliatchko, 2005, Schultz, 1998b; Shultz & Schultz, 2004). External audiences include consumers, customers, prospects, media, government, and other groups outside the company. While internal audiences are referring to the public within the organization, such as workers, managers and board members. The reason using the word “audience” than consumer because of IMC program not only addressed to consumer, but all relevant public of organizations (Estaswara, 2008, 2010; Kliatchko, 2005).

#### **f. Managing Contact Point**

Managing contact point means using one or any means to create ‘contact’ with customer. IMC is using all forms of communication and channels to connecting brand with customers. Main characteristic of this IMC elements is reflecting a willingness to use any form of most appropriate communication contact in effort to reach audience, and does not assign a specific media before (Kliatchko, 2005; Estaswara, 2008a; Shimp, 2003). Managing contact point means building relationships and interacts harmoniously with target audience through a channel-centered which involves an integrated approach of planning and managing a wide range of appropriate channels and communication elements. All channels must be treated equally without bias (Estaswara, 2008a).

#### **g. Building Relationship**

IMC should be able to create a profitable relationship over the time connecting the brand to customer. This idea is aligned with Kliatchko’s explanation (2008:145-146) that is: “Managing the external markets in IMC presupposes that the entire process of developing an integrated brand communication program places the target market at the core of the business process so as to effectively address their needs and wants and establish long-term and profitable relationships with them.” Relationship is the core of modern marketing where IMC becomes the key success. A relationship is a adhesive for a long time between the brand and its consumers, so as to create repeat purchases as well as brand loyalty (Shimp, 2003; Duncan, 2002). Consumer satisfaction is believed to be achieved through the relationship between company, brand and its customers. Therefore, promotional activities that are merely “telling and selling” is not enough. Assuming communication as the key factor in relating customer and brand allows company to achieve sales and profit. By means of communication activities, marketing is no longer just “telling-selling” but “telling-communicating-sharing”. It means, model of one-way communication has been shifted and moving to two-way communication between company, brand and its customers. Therefore, IMC is not only aimed at providing information but creating a dialogue with customers (Estaswara, 2008a).

#### **h. Sustainable, Circular, and Responsive**

IMC is a circular process of development and implementation various programs of persuasive communication to customers. Company determines form and methods that are circular in order to create and maintain a profitable relationship over time between brand and its customers with the aim to create

repeated buying and building powerful brand equity. This can be achieved by influencing strategically all messages sent to customers and other stakeholders. Linking company's objectives and brand's goal to consumer needs. Company should be able to communicate with customers in a dialog way by using interactive media (including social media) and develop database so customer life time value can be measured (Schultz & Schultz, 2004; Estaswara, 2008a).

#### 4. Media IMC

Today's company must be observant in communicating. It is because the rule of the game in marketing and business has changed due to the development of communication technology and the internet. One of its effects, the consumer is no longer powerless who can be loaded with messages that are unidirectional. They now tend to reject traditional ways of communication to be precise one-way communication. Customers want to be heard. They will welcome company providing two-way communication and personal nature (Estaswara, 2008a; Kitchen & Schultz, 2009).

Consumers as a target audience and producers as information source are faced by media fragmentation that is converging, which leads to changes in patterns of communication, face-to-face, face-to-mass, mass-to-mass, mass-to-face, are mixed and transformed into new patterns, known as an interactive communication media (Prayitno, 2013; Estaswara 2008a). In the latest developments occur media fragmentation, divergence media, as well as media convergence. Once media marketing communication is dominated by the mass media that are one-way communication, especially in effort to create brand awareness, positioning the brand, or establish the brand as a top-of-mind of consumers, either through advertising, public relations, and more. Instead, the interactive media is used not just create repeated buying, but conducting a dialogue with consumers who are interested in a brand. Interactive media is very valuable in building relationship amid brand and customers. It is because of the nature of two-way communication allows to exchange messages and knowledge, which in turn create a trusting relationship between the company and its customers (Chaffey *et al.*, 2000; Schultz, 1999; Kliatchko 2005, 2008).

From above idea then come efforts to integrate various communication elements (Miller & Rose, 1996). So each channel is not walk alone as a result it will be efficient in terms of cost and effective in communication. Therefore, it needs an valuable communication strategy to integrate all communication channels to produce effective communication, because in the era of communication today a company be a channel-centered, meaning involves an integrated approach in planning and managing appropriate channel in order to build a profitable relationship over the time with customers (Kliatcho, 2005, 2008; Estaswara 2008a, 2008b).

#### 5. Brand is the Core of IMC Message

Michael Maskus, Head of Group Marketing, Allianz, related to brand management, once said that "*you have to deliver what you promise*" (Burmam & Zeplin, 2005:279). Departing from this point of view it can be said that a brand is a promise (Gupta, 2009; Estaswara, 2011). Brand is a promise of the company, not a promise of a product. A promise of the company about the products (goods, services and ideas) that is offered to the market. A promise that is able to give direction and credibility of the company in achieving its objectives, creation of long-term profit. Brand promise is intangible that would be a "very real" if it is communicated by the company. However, promise must be fulfilled by the company and do not let the expression of "*high promise, low delivery*" emerged (Estaswara, 2011). Thus, to create a strong brand, the brand promise should be noted clearly and consistently as well as in tune with what is given (Aaker, D.A., 1996).

According to Duncan (2002:13), brand is defined as: "A perception of an integrated bundle of information and experiences that distinguishes a company and/or its product offerings from the competition." Brand is a perception in the minds of customers based on part of the brand, such as brand associations, brand experience as well as brand message that has been felt. The advantage is owned by the brand is its ability to provide certainty in selection of products made by the customers since they may not spend energy and time just to treat every purchase as a first-time purchase. Choosing a brand is saving time, a risk-free option, and reliable.

The use of phrase ‘brand communication’ in the IMC definition proposed by Kliatchko (2005) is actually consistent with what has been thought by Schultz and Schultz (1998), with deeper understanding. According to him, the idea of brand communication in the IMC move beyond and overcome the limitations of ideas proposed previously. In this regard, Duncan (2002) states that IMC is a process managing profitable relationships over time with customers based on brand value through a meaningful dialogue.

Thus, communication has a strategic role in brand development. The spirit of IMC is a common perception of brand value through dialog (Duncan, 2002; Estaswara 2008a). Brand value first build through brand identity that is followed by developed, managed and integrated with IMC programs to creating brand equity. One reason for the growing importance of the IMC in the last two decades because of IMC plays an important role in the process of developing brand identity as well as strengthening brand equity. Challenges in IMC implementation is how using different variants of communication tools with the right combination and convey brand message effectively and efficiently (Estaswara 2011, 2012).

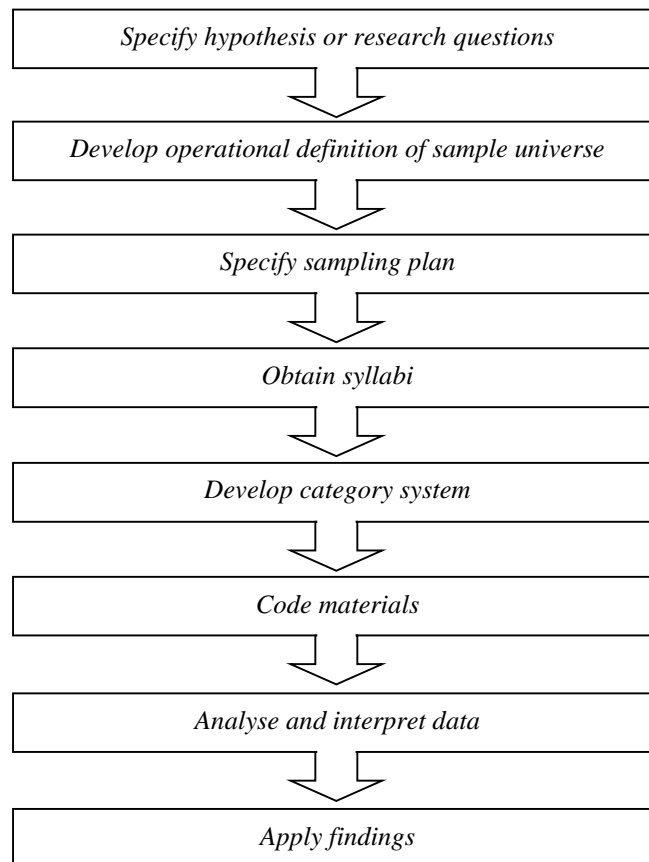
### **Method**

Process of methodological and data analysis techniques in this study using an approach that is identical to what has been done by Kerr *et al.*, (2008:522) related to their research on the syllabus analysis, by eliminating two stages, that is “train coders” and “pre-test and revision”. It is because in this study there was no coder other than researcher, so it does not require training for coder. In addition, the process of “pre-test and revision” is not conducted because the coding is done by researcher as well as research conducted by Kerr *et al.*, (2008:527), this stage is not considered important. The process begins with understanding how to describe the IMC in general as described in the literature review and research questions. This process is shown in the following figure.



**Figure 2**  
**Methodological Process**

*Sumber: Adoption from Kerr et al., (2008). An inside-out approach to integrated marketing communication: an international analysis. International Journal of Advertising, 27(4), pp. 517.*



Related sampling plan in this study is using five syllabuses of well-known universities in Jakarta which have master program in communication science and IMC course. The five syllabus used in this study are University of Indonesia (UI), London School of Public Relations (LSPR), University of Muhammadiyah Jakarta (UMJ), Paramadina University, and University of Sahid. Master program in Jakarta are been assumed represent other master programs in Indonesia, considering Jakarta is the trend-setter of communications and IMC study in Indonesia. While the selection of masters in communication science as research sample it is because the role of communication in IMC recognized very significant. IMC syllabus in this study were obtained by asking the educators, either directly (face-to-face) or via e-mail.

### Research Findings

Based on the text analysis of syllabus of the Master Program in Communication Studies in Jakarta, there are no syllabuses that specifically mention its title course of “IMC” and generally using the term of “Marketing Communications.” Organized in presenting syllabus is identified different, varies from general and very detailed in its formulation. Not all syllabuses describe general overview of the course as well as reading materials per-session. There is also no systematic standard in the syllabus formulation. While the results of material analysis of syllabus seen from key concepts of IMC, such as strategic and message integration, synergy, brand equity, multi-audiences, managing contact-point, building relationships, and sustainable, circular and responsive, is described in the following table.



**Table 3**  
**Research findings based on key concepts of IMC**

No	KEY CONCEPTS OF IMC	DESCRIPTION OF FINDINGS
	Strategic integration	Integration has a strategic nature or based on the needs and wants of consumers, prospects and customers. However, this idea of integration only based on coordination of communication tools and multi-channel. Integration has not been based on brand communication.
	Message integration	Integration of message (one voice, one spirit, one look) is not considered and integration is only based on communication tools and multi-channel.
	Synergy	Idea of synergy which showed a seamless or classless on communication tools already explored along with media synergy is also concerned, but limited to the “complimentary” construct.
	Brand Equity	Brand equity idea has considered, although based on brand management and its application.
	Multi-Audiences	There is attention only at consumers, prospects and customers, but less exploration the importance of other stakeholders. It means target communication merely single-audience.
	Managing contact-point	There is exploration of new media characteristics (interactive media) and the importance of media integration. There has been no attempt to explore all forms of communication media (both traditional and new media) and the brand contact-point between company, brand and its customer.
	Building relationships	There is no exploration the importance of relationships with customers in the long term that the brand becomes the determinant factor. Less concerning in utilization of consumer data base as the basis for the relationship development.
	Sustainable, circular and responsive	Consumer database, communication evaluation and the importance of life time value has not been explore yet. The focus is given to the potential of interactive media to build two-way communication (dialogue).

Based on above data description identified that integration of IMC is taught only in terms of integrating communication tools as well as media integration that is focused on “new media.” Integration of promotional elements, such as advertising, publicity, sales promotion, personal selling, sponsorship

marketing, point-of-purchase communication and media is viewed from the company side or it can be said as promotional activity. Although Its strategic point have been disclosed in the syllabus material, but limited to the needs and wants of consumers, prospect or customer, that the main concern remains focused on how to coordinate various communication tools and media in order to communicate effectively and efficiently. In addition, the importance role of brand in integration has not been considered. It cannot be said representing the ideas of IMC as a management process with the aim of strengthening brand proposition in the effort to create brand equity. However, IMC that is learned in the classroom can be regarded as traditional marketing communication concepts communicated through “new media,” but less in elaborating the importance of managing brand message and its relation to the needs of customer.

Message integration in IMC requires “one voice”, “one spirit” or “one look” in order to strengthen brand image has not identified as the focus of teaching. Whereas the integration over the brand message through a variety of communication tools as well as media, both traditional and new media, become the major issue. The absence of special attention to the brand message integration, because learning is focused on elaboration of various communication tools and characteristics of communications media, especially interactive media in today's communication era.

Furthermore, related to the concept of synergy where the combined effects of several brand communication activities exceed the sum of their individual effects seen already become the focus of teaching. Synergy on communication tools reflected of a seamless or classless on various elements has been taught in classroom. Advertising, publicity, sales promotion, personal selling, direct marketing to marketing sponsorship studied one by one relating to the characteristics, functions, roles and comparative strengths and weaknesses in the overall understanding of integration. According to Madhavaram *et al.* (2008), the idea of synergy in IMC above is just external and there is no evidence in exploring internal brand communications, in addition to the “complementary” nature or just merely intended to strengthen the communication effects.

As described above, understanding of brand is explored, but is taught in the framework of brand management. Data analysis identified lack of communication role in creating brand equity. Outside-in IMC sat brand and brand equity as a central position or often referred to as brand communication, but is also strongly associated with how to communicate the brand via IMC in order to build a brand relationship, brand loyalty and strengthens brand equity. From the findings has not been identified clearly the focus on brand communication.

Associated with multi-audiences, understanding of IMC is contained in syllabus only focus on consumers, prospects and customers that identified from description of consumer behavior. Consumers, prospect or customer and their behavior that is seen from their needs and wants had been a concern in teaching, yet been associated with consumer behavior changes in today's communication era. Consumers are no longer listeners but want to talk to company. However, when talking about consumer behavior identified different issues when studying the IMC as a strategy or campaign activity. In addition, there is no strong evidence shows the importance of all stakeholders in the IMC. Lack of understanding on multi-audiences is strongly associated with the lack of concern about the relationship between company, brand and significant audiences. Thus IMC taught not explain the importance of audience-focused, meaning IMC program is not targeted to all significant markets (multiple markets) to company, but only focus on consumer.

In communication discipline, phenomenon of the emergence of interactive media and its effects that shift the significance of “old media”, such as television, radio, newspapers, and magazines (print media), draw the attention of many communication scientists. Thus, it is not surprising that the idea of the characteristics of interactive media in the IMC, ranging from the Internet to social media, become the main topic. However, how interactive media that are two-way communication can effectively and efficiently being contact point between company and its customers in the framework of the integration identified lack of consideration. Need attention to this issue because brand is not a central point in the whole teaching of IMC. Therefore, contact-point simply interactive communication media and is not a

superior brand contact-point so the customer's needs related to the brand and the company can be managed effectively and efficiently.

Given brand contact-point has not been a consideration in teaching of IMC, and the lack of learning materials related to the development of a profitable relationship over time with customers show the attention is only set to the function and role of interactive media and does not explain how become superior tool in building relationships. At this point is required attention on brand as determining factor of relationship between the company and its customers. Thus, although the idea of importance of relationships with customers through interactive media to create dialogue has been disclosed, but left the important role of brand eventually making it as only statement of principles that must be met in IMC with no elaboration on how to fulfill it.

Finally, the context of sustainable, circular and responsive in IMC is only focused on the understanding of interactive media to establish communication that is both circular and responsive in order to serve as media of creating relationships with customers. The absence of explanation of consumer database which can be used to build relationships with customers, however by utilizing the digital technology allows the company to conduct evaluation on communications investments that have been made as well as measured customer life time value. From this point, the financial returns can be known and the results of evaluation can be input for the next program of IMC.

## Discussion

### 1. Inside-Out IMC: An Extended Version

Based on data elaboration above, IMC is taught in the master program in Indonesia can be said simply extended version of advertising campaigns or marketing communications that are inside-out. In agreement with the thought has been expressed Kerr, *et. al.*, (2008:513), that inside-out communications begins from program planning by setting corporate objectives to be achieved before the program is communicated to consumers. It is only limited to the external that IMC program is not aimed at internal audience, given the role of internal brand communication stakeholders are very important to brand culture before doing branding on external stakeholders, especially consumers. This idea also reflects the old fashion of IMC that have been revealed by Hartley and Pickton (1999) and Duncan (2002) which states that IMC is not a new discipline, but the management process is new as a result of the rapid development of information and communication technology that causes by changes in consumer behavior and their purchase decision as well as the way to communicate. In addition, companies in the era of information technology possibles to have communication resources that are infinite.

IMC taught is basically more advanced from IMC definition issued by 4As (Duncan & Caywood, 1996) with an additional the use of interactive media to communicate with customers in a two-way communication as well as the purpose of the IMC in order to create brand equity and in the context of communication can be built via strengthening brand value. This idea is similar to the first IMC definition by Duncan disclosed in 1991, as follows: “*The strategic coordination of all messages and media used by an organization to collectively influence its perceived brand value*” (Kliatchko, 2005:17). So, IMC is taught in master program in Indonesia can be described in a definitive sentence as follows: “*A concept of marketing communications planning that recognizes the added value of a comprehensive plan that evaluates the strategic roles of a variety of communication and combines these disciplines – general advertising, direct response, sales promotion, and public relations, etc – and also coordination of all media communication, especially “new media” to provide maximum impact in the era of communication society.*”

### 2. Traditional Perspective with “New Media” Approach

The difference between IMC taught in the masters program in Indonesia and state of the art of IMC conceptualization lies in brand and communication so as to both are not understood as central aspect in today's company, other than IMC only considered as marketing communications programs. Differences in perspective as above are an issue of otology. In essence, the main purpose of company is the creation

of profit that can be achieved if the product offered purchased by consumers. However in modern world, product can easily imitated by competitors and quickly out-of-date, so it needs brand. Thus brand is something that sold by company.

In fact, the product era is the past, because today and the future is the era of brand. In the era of information and communication technology today, the importance of brand in business has replaced the significance of product (Estaswara, 2011). On the other hand, the number of products is increasing year by year in its efforts to meet the needs of demanding customers. Customers today are having powerful position because the number of products offered in market so they have lots of choices. Then the question is what can make product unique and differentiated? The answer is brand. This thought is reinforced by Stuart Agres (Aaker, D.A., 1996:303) that is said, “*a brand is a set of differentiating promises that link a product to its customers.*” If the brand becomes determinant factor to create corporate profits, then required brand communication that is able to build brand value and a strategic aspects in development profitable relationship over time among companies, brand and customers. Without entering this in mind, IMC is simply strategic coordination of all communication tools and media conducted by an organization.

If it seen from the stages of IMC development (Kitchen & Schultz, 1999; Schultz & Schultz, 2004), understanding of IMC taught is still at the first stage with the additional use of interactive media. Although the idea of the importance of needs and wants of consumers, prospects or customers have been studied, but the focus of teaching in one semester only directed at the characteristics of the communication tools and new media as well as how to integrate synergistically so that the effectiveness of communication can be achieved or it can be said that IMC only as a tactical coordination of marketing communications. Then, the application of information technology is limited on the use of interactive communication media alone and absence of deep concern related to the construction of database, creating profitable relationship in the long run with customers, and measurement of communications investments. In fact, these activities can be done with the aid of information technology that in the end financial returns can be measured. As a result of the ontological difference as described above, no doubt influence the understanding of how IMC implemented.

## Conclusion

IMC is taught in the Master Program in Indonesia is simply extended version from what already widely practiced in advertising campaigns and marketing communication, to be precise the synergistic integration of all promotional elements communicated through interactive media. Lack of attention on brand and external communication only makes IMC taught eliminate some important concepts such as the construction of a profitable relationship over the time, multi-audiences, and sustainability, circular, and responsive.

## Acknowledgment

The author wishes to thank the Faculty of Communication, Universitas Pancasila for its financial support on this research, and also thank to Syifa Maharani and Farha Dina as research assistance.

## References

- Aaker, D.A. (1996), *Building strong brands*. US, New York: The Free Press.
- Belch, G.E., & Belch, M.E. (2004), *Advertising and promotion: An integrated marketing communications perspective*, Boston: McGraw-Hill.
- Brown, J. (1997), Impossible dream or inevitable revolution? Investigating the concept of Integrated Marketing Communications. *Journal of Communication Management*, Vol. 2(1):70-81.
- Burmann, P., & Zeplin, S. (2005), Building brand commitment: a behavioural approach to internal brand management. *Journal of Brand Management*, Vol. 12(4):279-300.
- Chaffey, D., Mayer, R., Johnston, K., & Ellis-Chadwick, F. (2000), *Internet marketing*, London:

Prentice Hall.

- Cornelissen, J.P., & Lock, A.R. (2001), "The appeal of integration: Managing communications in modern organisations." *Marketing Intelligent & Planning*, Vol. 19(6):425-431.
- Duncan, T. (2002), *IMC: Using advertising and promotion to build brands*. New York: McGraw-Hill.
- Duncan, T., & Moriarty, S. (1998), A communication-based marketing model for managing relationships. *Journal of Marketing*, Vol. 62 (April):1-13.
- Duncan, T. & Caywood, C. (1996), The concept, process, and evolution of integrated marketing communications, in Thorson, E. & Moore, J. (eds) *Integrated Communication: Synergy of Persuasive Voices*. Mahwah, NJ: Lawrence Erlbaum, pp. 13-34.
- Estaswara, H. (2008a), *Think IMC!: Efektivitas komunikasi untuk meningkatkan loyalitas merek dan laba perusahaan*. Jakarta: Gramedia Pustaka.
- Estaswara, H. (2008b), The implementation process of IMC (integrated marketing communications) and Its future prospect in business practice in indonesia: an exploratory comparative study toward four profession groups. *International Journal of Communication Studies*, Vol. 1(1):73-83.
- Estaswara, H. (2010), Stakeholder relationships in Integrated Marketing Communications (IMC): A Theoretical Perspective. *CoverAge: Journal of Strategic Communication*, 1(1):61-75.
- Estaswara, H. (2011), Brand management dan integrated marketing communications (IMC): membangun brand identity menuju brand personality, in Irwansyah & Budianto, H., (eds) *Corporate and Marketing Communication*. Jakarta: Puskombis Publication, Universitas Mercubuana, pp. 17-39.
- Estaswara, H. (2012), Brand management mapping: An integrated marketing communications (IMC) perspective, in Sarasnatiti, N., Lengkong, F., & Sintawati, M. (Eds) *Entrepreneurship in Global Competition*. Jakarta: Universitas Atmajaya Publication, pp. 419-436.
- Gupta, S. (2009), *Branding and advertising*. New Delhi: Global India Publication, PVT, LTD.
- Gould, S. (2000), The state of IMC research and applications. *Journal of Advertising Research*, Vol. 40(5):22-23.
- Harris, T. (1998), *Value-Added Public Relations*. Chicago: NTC Business Books.
- Hartley, B. & Pickton, D. (1999). Integrated marketing communications requires a new way of thinking. *Journal of Marketing Communications*, Vol. 5(2):97-106.
- Madhavaram, S., Badrinarayanan, V., & McDonald, R.E., (2005), Integrated marketing communications (IMC) and brand identity as critical components of brand equity strategy. *Journal of Advertising*, Vol. 34(4):69-80.
- Mazur, L. & Milles, L. (2007), *Percakapan dengan Para Master Pemasaran*. Kinanti S. (Trans.). Jakarta: Gramedia Pustaka Utama.
- Mayo, M.A. & Miciak, A. (1991), The decision-making process underlying curriculum revision. *Journal of Marketing Education*, 13(3):21-32.
- Miller, D. & Rose, P. (1994), Integrated communications: a look at reality. *Public Relations Quarterly*, Vol. 39(1):13-16.
- Schultz, D.E., Tannenbaum, S. & Lauterborn, R. (1993), *The new marketing paradigm: Integrated marketing communications*. Illinois: NTC Business Books.
- Schultz, D. E., & Barnes, B.E. (1995), *Strategic advertising campaigns*, 4th ed. Lincolnwood, IL: NTC Business Books.
- Schultz, D. E. (1998a), "Branding: the basis for marketing integration," *Marketing News*, 32 (24):8.
- Schultz, D.E. (1998b), Determining how brand communication works in the short and long terms.



- International Journal of Advertising*, 17(4):403-426.
- Schultz, D.E. & Kitchen, P.J. (2000), *Communicating globally: An integrated marketing approach*. London: Palgrave-Macmillan.
- Schultz, D.E. & Schultz, H. (2004), *IMC: The next generation*. New York: McGraw-Hill.
- Shimp, T. (2003), *Advertising, promotion and other aspects of Integrated Marketing Communications*. Ohio, USA: Thomson South-Western.
- Spotts, H. E., Lambert, D. R., & Joyce, M. L., (1998), "Marketing déjà vu: The discovery of integrated marketing communications." *Journal of Marketing Education*, 20(3):210-218.
- Swain, W.N. (2004), Perceptions of IMC after a decade of development: who's at the wheel, and how can we measure success? *Journal of Advertising Research*, Vol. 44(1):46-65.
- Kerr, G., Schultz D.E., Patti, E., & Kim, I. (2008), An inside-out approach to integrated marketing communication: An international analysis. *International Journal of Advertising*, 27(4):511-548.
- Kitchen, P.J., Joanne B., Tao L., & Graham S.P. (2004), "The emergence of IMC: a theoretical perspective." *Journal of Advertising Research*, 44 (March):19-30.
- Kitchen, P. & Li, T. (2005), Perceptions of integrated marketing communications: a Chinese ad and PR agency perspective. *International Journal of Advertising*, Vol. 24(1):51-78.
- Kitchen, P. J. & Schultz, D. E. (1999), A multi-country comparison of the drive for IMC. *Journal of Advertising Research*, Vol. 39(1):21-38.
- Kitchen, P. J. & Schultz, D. E. (2009), IMC: New horizon/fals down for a marketplace in turmoil? *Journal of Marketing Communications*, Vol. 15(2-3):197-204.
- Kliatchko, J. (2005), Towards a new definition of integrated marketing communications (IMC). *International Journal of Advertising*, 24(1):7-34.
- Kliatchko, J. (2008), Revisiting the IMC construct: A revised definition and four pillars. *International Journal of Advertising*, 27(1):133-160.
- Phelps, J., Harris, T. & Johnson, E. (1996), Exploring decision-making approaches and responsibility for developing marketing communications strategy. *Journal of Business Research*, Vol. 37(1):217-223.
- Prayitno, S. (2013), Pergeseran Strategi Komunikasi Pemasaran dalam Era Konvergensi Media. *Proceeding Konferensi Nasional Komunikasi (KNK) 2013*, Jakarta, 13-14 November 2013, ISBN: 978-979-97000-4-9), pp. 464-474.



# Merits and Demerits of Using Information and Communication Technology (ICT) Tools in Iranian High School English Classes

*Hadi Salehi\*, Masoud Asgari & Mahdi Amini*

*English Department, Najafabad Branch, Islamic Azad University, Najafabad, Isfahan, Iran*

*\*hadisalehi1358@yahoo.com*

## Abstract

In this decade, significant progress has been made in the field of Information and Communication Technology (ICT) to the extent that sometimes seems impossible to imagine life without the achievements of the field. That is why the present researcher, as an English teacher, decided to investigate the merits and demerits of using ICT in Iranian high school English classes. The study also aims to examine the implementation of ICT tools to motivate English teachers to teach better and encourage the learners to learn better. In this regard, a questionnaire was used to collect English teachers' perceptions about the merits and demerits of using ICT tools in their classrooms. The results of this study are hoped to provide insights to the Ministry of Education in Iran to improve the insufficient use of ICT tools in English teaching and learning classes.

**Keywords:** information and communication technology (ICT), merits, demerits, questionnaire, education

## Introduction

Teaching and learning processes have been affectedly reshaped in higher education by the development of Information and Communication Technology (ICT) tools (Pulkinen, 2007; Wood, 1995). ICT for education is more imperative today than ever before since its mounting power and capabilities are imposing a change in the learning environments available for education. ICT are a diverse set of technological tools and resources used to communicate, and to create disseminate, store, and manage information. Communication and information play a central role in education procedures; therefore, ICT in education has a long history. ICT are basically information managing tools – a varied set of goods, applications and services that are used to produce, store, process, distribute and exchange information. They include “old” ICTs like radio, television and telephone, and the “new” ones as computer, satellite and wireless technology and internet with their associated tools. ICT has played an educational role in formal and non-formal settings, in programs provided by governmental agencies, public and private educational institutions, for-profit corporations and non-profit groups, and secular and religious communities. ICT has always been considered important in the classes in general, and in English classes in particular. The implementation of ICT, during the last two decades, in education has become a substantial subject in research on educational reform (Drent & Meelissen, 2008). This study is specifically aimed to investigate the merits and demerits of using ICT tools in Iranian Junior High School English Classes. Since teachers are thought to play a key role in effective implementation of educational modifications, part of this project concerns empowering teachers in pre-service and in-service courses (Paraskeva, Bouta, & Papagianni, 2008). Accordingly, studies on factors that influence ICT utilization by teachers, in different countries, have recently begun to expand (e.g., Baylor & Ritchie, 2002; Granger, Morbey, Lotherington, Owston, & Wideman, 2002; Robinson, 2003; Hew & Brush, 2007; Hermans et al., 2008; Paraskeva et al., 2008; Kim, Jung, & Lee, 2008; Inan & Lowther, 2010; Zamani, 2010).

The results of this string of research confirm that technology has the capacity to provide opportunities for influential teaching and learning environments (Hermans, Tondeur, van Braak, & Valcke, 2008) and

can affect students' learning (Cancannon, Flynn, & Campbell, 2005), motivation (Mahdizadeh, Biemans, & Mulder, 2008), critical thinking (Lim, Teo, Wong, Khine, Chai, & Divaharan, 2003), and autonomy (Claudia, Steil, & Todesco, 2004).

## Literature review

ICT is a term which refers to technologies used in creating, accumulating, storing, editing, and disseminating of information in different forms. ICT is considered as a revolution that engages the use of computers, internet and other telecommunication (Bande, 2006). Some merits and demerits of using these tools exist in teaching English classes of Iranian Junior High School English Classes (IJHSEC). The present study debates the topic under the following outlines:

- Merits of ICT in enhancing qualified education.
- Demerits of ICT in enhancing qualified education.
- Merits of ICT for students.
- Merits of ICT for teachers.

### *Merits of ICT in enhancing qualified education.*

There are a number of merits derived from the use of ICT tools in enhancing quality of ICT education like, firstly, the ability of learner to decide when to learn irrespective of geographical location without stress. Secondly, ICT also empowers learners to discover and explore new ideas or innovations from experts around the global world through the use of common ICT available facilities. Thirdly, the existence of ICT in education system will enable students to deliver lectures, empower educators to monitor learners' improvement and even aid evaluators to assess them timely. However, (Nwosu & Ugbo, 2012) listed the following as the merits of ICT in enhancing qualified education:

- **Active Learning:** ICT-enhanced learning mobilizes tools for examination, calculation and analysis of information, thus providing a platform for student inquiry, analysis and construction of new information. Learners, then, learn as they do and, whenever appropriate, work on real-life problems in depth, making learning less abstract and more relevant to the learner's life situation. By doing so, and in contrast to memorization-based or rote learning, ICT-enhanced learning foster learner engagement.
- **Collaborative Learning:** ICT-supported learning encourages interaction and cooperation among students, teachers, and experts regardless of their location. Apart from modeling real world interaction, ICT-supported learning provides learners the opportunity to work with people from other cultures, thereby helping to enhance learners' teaming and communicative skills as well as their global awareness. It models learning done throughout the learners' lifetime by expanding the learning space to include not just peers but also mentors and experts from different fields.
- **Creative Learning:** ICT-supported learning progresses the manipulation of existing information and the creation of real world products rather than the regurgitation of received information.
- **Integrative Learning:** ICT-enhanced learning promotes a thematic, integrative approach to teaching and learning. This approach eliminates the artificial separation between the different disciplines and between theory and practice that characterizes the traditional classroom approach.
- **Evaluative Learning:** ICT-enhanced learning is student-directed and diagnostic. Based on ICT-enhanced learning, there are various learning pathways and different articulations of knowledge. ICTs allow learners to explore and discover rather than simply listen and remember.

### *Demerits of ICT in enhancing qualified education.*

The integration of ICT in classrooms can also result in demerits. Teachers may have difficulty in the integration thereof. The teacher must manage, at all times, the navigation of students during school hours. It can justify them that all websites are not reliable or acceptable. In a word, students need to make better use. Moreover, researchers claim that when integrating ICT, children with access to this information, are more likely to detach themselves from the rest of the group because they can hardly play when the children are team. When writing on the computer, it cannot be two people at once. Hence, the integration of technology has its own limits. Some important demerits of ICT in enhancing qualified education are inadequate ICT facilities and unsophisticated accessories. In Iran, most ICT facilities are not adequate to enhance qualified education to learners and teachers, even where it exists they are not sophisticated enough to stand the taste of time like the ones acquired in developed countries. Problems of quality and lack of resources are incorporated with the education institutions battle to cope with every increasing students' numbers. One of the major demerits of ICT is failure to reach its full potential in the foundation stage in teacher's attitude. According to Hara (2004), within the early years education, attitudes towards ICT can alter noticeably. Some consider it as a potential tool to assist learning whereas others disagree with the use of technology in early year settings. As Blatchford and White-bread state, the use of ICT in the foundation stage is unhealthy and hinders learning (Blatchford & White-bread, 2003). In theory, some people may view the teachers without the experience of ICT throughout their learning having negative attitude towards it, since they may lack the training in that area of the curriculum.

### *Merits of ICT for students*

Some fundamental and essential merits of ICT tools for students in English classroom are:

- a) Higher quality lessons through greater collaboration between teachers in planning and preparing resources.
- b) More focused teaching, tailored to students' strengths and weakness, through better analysis of realization data.
- c) Improve pastoral care and behavior management through better tracking of students.
- d) Achievement of understanding and analytical skills, including improvement in reading comprehension.
- e) Development of writing skills, also fluency, originality and elaboration.
- f) Encouragement of independent and active learning and self-responsibility for learning.

### *Merits of ICT for teachers*

Following are some major and real merits of ICT for English teachers:

- a) ICT facilitates sharing of resources, expertise and device.
- b) More flexibility in when and where tasks are accomplished.
- c) Easier planning and preparation of lessons and designing materials.
- d) Access to up-to-date pupil and school data, anytime and anywhere.
- e) Achievement of ICT literacy skills, confidence and enthusiasm.
- f) Enhancement of professional image projected to colleagues.
- g) Motivating students to continue using learning outside school hours by using computer during lessons.

## **Methodology**

This study is just one part of a huge project. The general purpose of the main study was to explore the effectiveness of using ICT tools in Iranian junior high schools in English classes.

## Participants

The participants were 60 Iranian English teachers chosen based on stratified random from high schools of one city in Iran. Twenty-three male (38.33) and thirty-seven female (61.66) English teachers were selected randomly from the population.

### *Instruments for data collection*

#### Personal Information Form (PIF)

By using a personal information questionnaire, teachers' personal features were collected. Teachers were requested to provide information about personal variables like: gender, age, academic degree, years of experience, workload of weekly period, and area of teaching.

#### The Role of ICT Tools Form (RITF)

All in all, seven strategies were applied to assess the role of ICT tools in his/her teaching by giving the following options: never, rarely, sometimes, often, and always.

#### Merits of ICT Tools in Teaching English Classroom Form (MITTECF)

Attitudes towards merits of ICT tools in teaching English classroom with 10 items were assessed by giving the following options: strongly disagree, disagree, no opinion, agree, and strongly agree.

#### Demerits of ICT Tools in Teaching English Classroom Form (DITTECF)

Attitudes towards demerits of ICT tools in teaching English classrooms were assessed by giving 10 items and giving the following options: strongly disagree, disagree, no opinion, agree, and strongly agree.

A total of sixty questionnaires were administered in each of the four sample high schools named Science, Happy, Sky, and Unique. The fifty questionnaires were equally retrieved immediately from the respondents.

**Table 1:** High Schools Involved in the research in Iran

Name of high schools	Number of questionnaires retrieved and used
Science	13
Happy	10
Sky	12
Unique	14
Flower	11

**Table 2:** Number of Distributed and Collected English Teachers' Questionnaires

School name	School type	Gender of the school	Educational district	Distributed questionnaires	Collected questionnaires	Percent
Science	Govern.	Boy	City	13	13	100%
Happy	Govern.	Boy	City	10	9	90%
Sky	Govern.	Girl	City	12	10	83.3%
Unique	Govern.	Girl	City	14	12	85.7%
Flower	Govern.	Girl	City	11	10	90.9%
Total				60	54	90%

**Table 3:** Role of ICT Tools in Teaching English Classes in Iran

No	Strategies	Science	Happy	Sky	Unique	Flower	Total	%
1	Listening cases	10	7	11	8	8	44	73.3
2	Video record lessons	11	9	10	11	10	51	85
3	Making the learners to learn computer soft wares	12	10	11	14	11	58	96.6
4	Engaging the learners in group activities	13	10	12	14	11	60	100
5	Teaching web sites	8	5	7	9	9	38	63.3
6	Team teaching with ICT tools	13	10	12	14	11	60	100
7	Speaking, listening, reading and writing cases with computer	13	10	10	9	10	52	41.6

**Table 4:** Schools and ICT Tools in Teaching English Classes in Iran

No	ICT tools used	Science	Happy	Sky	Unique	Flower	Total	%
1	Internet	20	20	20	20	20	60	100
2	Online database	2	2	4	2	3	13	21.66
3	Scanner	2	2	1	1	2	8	13.33
4	computer	10	5	8	7	8	38	63.33
5	Smart board	3	2	1	5	2	13	21.66
6	Website	4	5	2	3	1	15	25
7	Weblog	8	9	6	7	8	38	63.33
8	Fax machine	2	2	1	1	2	8	13.33
9	Data projector	3	2	1	5	2	13	21.66
10	Video recorder	6	5	8	9	2	30	50
11	Laptop	8	5	6	7	5	31	51.66
12	Online quiz	1	0	1	2	1	5	8.33
13	Podcasts	1	1	1	2	2	7	11.66
14	Text chat (sms)	0	0	0	0	0	0	0
15	Social networking sites	0	0	0	0	0	0	0



**Table 5:** Merits derived from the use of ICT facilities

No	Merits	Science	Happy	Sky	Unique	Flower	Total
1	Access to what I need anytime	15	12	16	10	7	100%
2	Access to remote resources I want anytime	5	12	11	9	6	71.66%
3	Else of research done quick and easy access to remote resources	11	8	9	4	10	70%
4	Improvement in the quality of education	10	12	10	11	15	96.66%
5	Quality of research improvement	12	11	13	10	10	93.33%
6	Quick access to research participants	9	10	7	6	4	55%
7	Teaching and learning enhancement through the use of quality information resources	13	12	9	11	12	95%
8	Active learning enhancement	12	13	10	13	12	100%
9	Encourages collaborative and interactive learning	11	10	10	9	10	83.33%
10	Encourages interactive approach to learning	8	10	9	7	6	66.66%

## Results

The table (1) shows that sixty questionnaires were distributed in each of high schools and all were retrieved and allocated to the study. The table (2) revealed that five schools took part in this research, three of which were girls' schools and two of which were boys' schools; the total questionnaires which distributed among them were (60) and collected questionnaires were (54). All schools were Governmental and their names were Science, Happy, Sky, Unique and Flower. The maximum percent belonged to Science (100 %) and the minimum percent belonged to Sky (83.3 %). The table (3) shows that all English teachers know the role of ICT tools in teaching English classes and want to involve the learners with the best strategies in their teaching but their viewpoints are different; Strategy (No- 4) is the most popular strategy on which English teachers agree and believe that there is no negative viewpoints about it (100%), but in strategy (No-7) quite vice versa, their ideas are different and they believe that ICT tools should not be used in any four skills of English (41.6%). The table (4) shows that all English teachers used the following ICT tools. These ICT tools include Internet, Online database, Scanner, computer, Smart board, Website, Weblog, Fax machine, Data projector, Video recorder, Laptop, Online quiz, and Podcasts ,in which English teachers of five high schools have been involved but none of English teachers in five high schools have been involved in (Text chat & Social networking sites). The study ,as shown in table 3, revealed that 60 (100%) have used Internet, 13(21.66%) have used online database, 8(13.33) scanner,38(63.33%) computer,13(21.66%) smart board, 15(25%) website, 38(63.33%) weblog, 8(13.33%) fax machine, 13(21.66%) data projector, 30(50%) video recorder, 31(51.66%) laptop, 5(8.33%) online quiz, 7(11.66%) podcasts. Regarding table (5), the study revealed that the five high schools have benefited from the ICT facilities through what is needed at any

point in time. The research have showed (100% ) derived from Access to what I need anytime , (71.66%) derived from Access to remote resources I want anytime, (70%) derived from Else of research done quick and easy access to remote resources,(96.66%) derived from Improvement in the quality of education, (93.33%) derived from Quality of research improvement,(55%) derived from Quick access to research participants,(95%) derived from Teaching and learning enhancement through the use of quality information resources,(100%) derived from Active learning enhancement,(83.33%) derived from Encourages collaborative and interactive learning,(66.66%)derived from Encourages interactive approach to learning. The study also revealed that ICT tools enhance Access to what I need anytime and Active learning enhancement and has to notice to Quick access to research participants.

## Discussion

In general, a number of merits and demerits can be considered regarding using ICT tools in English classes. For the merits, it is reported that using ICT could help to meet the teachers' teaching objectives as ICT aids the teaching process. The results of the study revealed that English teachers used technology chiefly in teaching followed by speaking, listening, reading, writing, vocabulary, pronunciation, and grammar. The outcomes of the study also showed that ICT tools like Internet, Online database, Scanner, computer, Smart board, Website, Weblog, Fax machine, Data projector, Video recorder, Laptop, Online quiz, Podcasts, Text chat(sms), Social networking sites are almost less used in high schools of Iran. Besides, the findings indicated that English teachers have formulated a selective ICT-use strategy based on the nature of language skills/components they teach with a general tendency to use digital portable devices.

## Conclusion

The merits and demerits of ICT tools, undoubtedly, are a prerequisite to qualified ICT tools in education in general and in English classes in particular. The result of the study has showed that the merits of ICT tools have recently gained groundswell of interest. It is a significant research area for many scholars around the world. Their nature is highly changed by the face of education over the last few decades. Truly, a small percentage of schools in some countries effectively use ICT tools to support and change teaching and learning procedures in many areas. As shown in this study, many students consider ICT tools very helpful in that it helps them do assignments better and that the teachers teach English better and more meaningful. ICT tools, likewise, help teachers work in teams and share ideas associated with school curriculum. Many English teachers use ICT tools to support modern teaching methods to improve students' pedagogy and learning processes in new opportunities of using ICT tools in English classes , as well. Many of English teachers believed that, firstly ICT tools can change the lessons' pace, secondly ICT tools, with the groundswell of interest can enhance the quality of teaching and learning in schools of Iran.

## References

1. Bandele, S. (2006). Development of modern ICT and internet system. In Agagu AA (ed). Information and Communication Technology and Computer applications. Abuja: pan of press, 1-3.
2. Nwsou, O., and Ogobomo, E. (2012). ICT in Education: A Catalyst for effective Use of Information The official publication of the pacific northwest library association PNLA Quarterly. Retrieved from <http://www.ict in education: as a catalyst for effectiveness use of information>.
3. Pulkinen. J. (2007). Educational technology: opportunities and challenges.
4. Wood. P. (1995). Knowledge – Intensive services and Urban Innovativeness.
5. Hara. M. O. (2004). Young children , Learning and ICT: A case study in the UK maintained sector.
6. White bread & Blatchford (2003). Supporting ICT in the early years.
7. Drent. M & Meelissen. M (2008). Computer and Education 2008
8. Paraskeva, F., Bouta, H., and Papagianni, Aik. (2008). Individual characteristics and computer self-efficacy in secondary education teachers to integrate technology in educational practice. Computers & Education, 50(3), 1084-1091. <http://dx.doi.org/10.1016/j.compedu.2006.10.006>
9. Baylor, A. L., and Ritchie, D. (2002). What factors facilitate teacher skill, teacher morale, and perceived student learning in technology-using classrooms? Computers & Education, 39(4), 395-414. [http://dx.doi.org/10.1016/S0360-1315\(02\)00075-1](http://dx.doi.org/10.1016/S0360-1315(02)00075-1)
10. Granger, C.A., Morbey, M.L., Lotherington, H., Owston, R.D., and Wideman, H.H. (2002). Factors contributing to teachers' successful implementation of IT. Journal of Computer Assisted Learning, 18(4), 480-488. <http://dx.doi.org/10.1046/j.0266-4909.2002.00259.doc.x>
11. Robinson, W. I. (2003). External, and internal factors which predict teachers' computer usage in K-12 classrooms. Detroit, MI: Wayne State University.
12. Hew, K. F, and Brush, T. (2007). Integrating technology into K-12 teaching and learning: Current knowledge gaps and recommendations for future research. Educational Technology Research and Development, 55(3), 223-252. <http://dx.doi.org/10.1007/s11423-006-9022-5>
13. Hermans, R., Tondeur, J. , van Braak, J, and Valcke, M. (2008). The impact of primary school teachers' educational beliefs on the classroom use of computers. Computers & Education, 51(4), 1499-1509. <http://dx.doi.org/10.1016/j.compedu.2008.02.001>
14. Kim, J. H., Jung, S. Y., and Lee, W. G. (2008). Design of contents for ICT literacy in-service training of teachers in Korea. Computers & Education, 51(4), 1683-1706. <http://dx.doi.org/10.1016/j.compedu.2008.05.001>
15. Inan, F. A., and Lowther, D. L. (2010). Factors affecting technology integration in K-12 classrooms: a path model. Education Tech Research Dev, 58(2), 137-154. <http://dx.doi.org/10.1007/s11423-009-9132-y>
16. Zamani, B. E. (2010). Successful implementation factors for using computers in Iranian schools during one decade (1995–2005). Computers & Education, 54(1), 59-68. <http://dx.doi.org/10.1016/j.compedu.2009.07.004>

17. Cancannon, F., Flynn, A., and Campbell, M. (2005). What campus-based students think about the quality and benefits of e-learning? *British Journal of Educational Technology* 36(3), 501-512. <http://dx.doi.org/10.1111/j.1467-8535.2005.00482.x>
18. Mahdizadeh, H., Biemans, H., and Mulder, M. (2008). Determining factors of the use of e-learning environments by university teachers. *Computers & Education*, 51(1), 142-154. <http://dx.doi.org/10.1016/j.compedu.2007.04.004>
19. Lim, C. P., Teo, Y. H., Wong, P., Khine, M. S., Chai, C. S., and Divaharan, S. (2003). Creating a conducive learning environment for the effective integration of ICT: Classroom management issues. *Journal of Interactive Learning Research*, 14(4), 405-423.
20. Claudia, M., Steil, A., and Todesco, J. (2004). Factors influencing the adoption of the Internet as a teaching tool at foreign language schools. *Computers & Education*, 42(4), 353-374. <http://dx.doi.org/10.1016/j.compedu.2003.08.007>

# The Relation of Self-Efficacy, Self-Esteem and Assertiveness Levels in Terms of Gender and Duration of Experience in Handball Players

*Fikret Soyer, Sakarya University, Turkey*  
*Turhan Toros, Mersin University, Turkey*  
*Zülbiye Kaçay, Sakarya University, Turkey*

## Abstract

The aim of this study is to compare the relations of self-efficacy, self-esteem and assertiveness level in handball players in terms of gender and duration of experience.

311 handball players participated to this study voluntarily and to select them simple random sampling technique was used. The sample comprised 150 female and 161 male handball players. The average age of the participants is  $16,09 \pm 2,17$ .

The Self-Efficacy Scale, the Stanley Coopersmith Self-Esteem Inventory (SEI) and the Rathus Assertiveness Inventory (RAE) were used in collecting the data. In the analysis of data, the effect of independent variables on the levels of self-esteem and assertiveness in pairs T test was used, in more than two groups one way ANOVA and when the analysis of variance was significant at 0.05 level LSD (Least Significant Difference) analyses were used as post-hoc test in analyzing the data.

According to the research data, there was a significant difference at a level of mean scores of self-esteem and self-efficacy ( $p < 0.05$ ). However, no significant difference was found in mean scores level of assertiveness ( $p > 0.05$ ).

As a result, the levels of self-efficacy, self-esteem and assertiveness in handball players are important in terms of gender and years of experience.

**Keywords:** Handball player, Self-Efficacy, Assertiveness, Self-Esteem, Gender, Years of Experience

# The Classroom Justice Perceptions of High School Students

*Burçin Nural, MEB, Turkey*  
*Osman Titrek, Sakarya University, Turkey*

## Abstract

The purpose of this study to determine classroom justice perceptions of high school students in terms of their experiences in the classroom. Classroom is a learning environment in which a multi dimensional interaction takes place as well as the teaching procedures being held. The students are searching for justice in the classroom where they spend most of their time. This study aims to examine the justice in terms of classrom environment and determine the variables which affect the classroom justice perceptions of high school students with the difference of the studies which studied justice in terms of organizational level.

In this study cross sectional survey model was conducted for the purpose of the research. The Scale named Classroom Justice Perceptions of Students was developed by the researcher after the related literature survey is completed. The questionnaire was carried out by the 486 high school students stuyding in the 2014-2015 educational year in Kocaeli. The sample of the survey was choosen according to the ramdom sampling model. The data gathered through the questionnaire was analysed with the “IBM SPSS Statistics 20” package programme. The fact that the data showed non-parametric range Kolmogorov –Smirnov test was employed. The classroom justice is investigated the dimensions of distributive, procedural, interactional and awarding justice in terms of the variables such as school type, gender, class level, academic success, mother and father education level, family income level, and attendance to social activities. According to the results of the study there is a meaningful difference between the justice perceptions of students and school type also class level. The results showed that awarding justice is high in Vocational and Technical High Schools, procedural justice is low in Science High Schools, distrubutive justice is low in Vocational School for Girls. In terms class level, 9 th grade students perceptions of justice is higher than the other class levels. The results indicated that there is no meaningful difference between classroom justice perception and mother-father education level, gender and family income level.

**Keywords:** Justice, classroomjustice, proceduraljustice, distributive justice, interactional justice.

## Introduction

The history of the justice concept dates back to the history of the humanity (Çakmak, 2005:19). The concept of justice which dates back to the history of the humanity has interested many scholars over years. Scholars from Aristo to Nozik and Rawls had studied this concept (Greenberg ve Bies,1992; Akt Özmen, Arsak ve Özer,2007:19).

People are searching for justice in each environment they take place and this search for justice has become an indespannable part of their lives. Justice is the fundamental virtue of the all social institutions. People need justice in anywhere they live (Töremen ve Tan, 2010:59).

The school is certainly one of the fundamental institutions of society where exchanges and relations are within the experience of almost everyone and constitute a significant aspect of human interaction. For children, school is likely to be the most important arena of their experience of socialization (Çelikkaya,2008: 23). The perception of justice appears to be a significant factor for an individual to be able to adapt to the school community as a student. Therefore students who internalized the concept of



justice by means of their school experiences will contribute to the school in the short term and to the society in the long term (Çelikkaya, 2008: 4).

Classroom justice theorizing and research, including the three-dimensional conceptualization and measures of distributive, procedural, and interactional fairness, were originally based on organizational behavior and industrial/organizational psychology theory and research (Chory-Assad, 2002; Chory-Assad & Paulsel, 2004b).

Studies in recent years show us how students perceive and react when they experience justice and injustice in the classroom. The purpose of this study is to determine the students' perceptions of fairness in terms of their classroom experiences. Classroom is a learning environment in which a multi-dimensional interaction takes place as well as teaching activities being held.

## 1. The Concept of Justice

The passion for the justice is the most ancient passion of people and the question “what is justice?” is one of the ancient questions of philosophy (Kuçuradi, 2001: 39). People have tried to define the concept of justice with different points of view over the centuries but the concept of justice isn't exactly defined yet. According to Özkalp ve Kirel (2004: 235) justice is defined as being impartial and open-minded, accepting faults, changing beliefs and positions appropriately, displaying loyalty to the judiciary, treating individuals equally, not taking advantage of other people's faults and deficiencies. Moreover, Demirtaş and Güneş (2002: 2) defined the justice as giving the participants their rights according to their contributions to the organization and giving them punishments when they do not obey the rules.

On the basis of Çeçen's (1993:20) statement of justice, there is value judgment. Justice is an ethic value and it depends on the people's and societies' ethic understanding. The understanding of ethics changes according to time and societies for this reason it changes the content of the justice indirectly. Equality is the other concept we encounter when justice is in the question. Equality is one of the important elements of justice which means treating the people equally (Güriz, 2001: 14).

As it is concluded from the definitions above there is no exact definition of justice. Because of the fact that the concept of the justice changes according to the judgment values and it is a relative concept, justice cannot be defined exactly. People can understand justice better when they encounter with an injustice situation.

## 2. Organizational Justice

Başaran (2000) organization is an open system formed by people who are working voluntarily and systematically to achieve the set of aims for fulfilling the needs of society. It is worth to study the concept of justice in terms of organizational level because people look for justice in each platform they are in like family, school, friend groups, workplace (Karameinoğulları, 2006).

Organizational justice is a term gained the importance with the perceptions of employees about how fairly they are treated in the work place and the effects of these perceptions to individual and organizational results. It is important to have employees who are satisfied and happy with their job and have high performance for the organizations (Irak, 2004: 40). If employees think that people have fair behaviors in the organization and benefits are distributed fairly and there is no discrimination between equal people organizational justice perception develops positively (Iscan & Naktiyok, 2004).

### 2.1 Dimensions of Organizational Justice

Based on the studies about organizational justice, generally organizational justice has three main dimensions as distributive justice, procedural justice, and interactional justice.

### 2.1.1 Distributive justice

The first distributive justice theory goes back to Aristo and his categorization of distributive and reformative justice is still keeps its validity. According to Adam's Equality Theory which formed the structure of the distributive justice, if the employees make the same amount of contributions to the organization and in return the benefits of the employees are not equal with the others' are in the same position, the ones who get unequally more benefit and payment feel guilty and the ones who get less payment feel angry (Cited: Greenberg, 1990:400). The inequality in terms of distributive justice affects the employees in the organization negatively. If the employees feels the injustice in the organization this situation affects their performance, and their decisions about quitting the job or continuing work for the organization (Özdevecioğlu, 2004). Besides the distribution the sources benefits, the distribution of rewards and punishments are also crucial in terms of distributive justice. It is also important to know how the decisions are made while distributing the benefits so at this point procedural justice gain importance (Greenberg, 1997).

### 2.1.2 Procedural Justice

While distributive justice focuses on the justice of the decisions made in an organization, procedural justice focuses on the justice of the processes while making this decisions. Procedural justice is the idea of fairness in the processes that resolve disputes and allocate resources. Procedural justice concerns the fairness and the transparency of the processes by which decisions are made and it reflects the employees' perceptions of justice in terms of the processes in which they get rewards, promotions and payment (Altıntaş, 2007: 152).

According to Greenberg (1990:409-411) there are three main factors that affect the procedural justice perceptions of employees; the objectivity of the decision making process, having trust to the ones who have the authority to make decisions and having relations based on respect, trust, positive intents and cooperation.

The results of the studies show that when employees believe that their employers make unfair decisions, they show less commitment to their employers, they intend more to commit a theft, they have a strong desire to change their job, they show low performance and they are less eager to cooperate. Employees care about how they are treated and this treatment affects their relations with their employers (Folger ve Cropanzano, 1998; cited: Yıldırım 2003:377).

Levental (1980) there are six main rules affect the justice perceptions in an organization (Cited: Titrek, 2009a):

- a) consistency: distribution decisions in organizations should be consistent. Consistent leadership behavior is a necessary condition for employee perceptions of fairness.
- b) do not become prejudiced: with respect to distribution or process, do not become prejudiced against employees of the organization.
- c) accuracy: in an organization, information should be handled accurately and honestly.
- d) correction: employees should be given a right to object or correct wrong decisions made by managers. Faulty or poor decisions should be corrected as well.
- e) representative: decision-making processes that affect employees should include representatives from them and they should attend the process in the organization.
- f) ethics: decision-making processes should reflect the ethical values of the employees.

These six rules are based on the justice and related gains (Viswesvaran ve Ones, 2002: 194). According to the rules explained above, procedural justice is about the processes which affect the decisions. Any rule violation by decision makers or organization may cause the perception of injustice in terms of procedural justice (Greenberg ve Barling, 1999).

### **2.1.3 Interactional Justice**

The organizational theories focus on the interaction between people and problems caused by this interaction in recent years. The relational dimension of justice is defined by relations between the source of justice and the one who receives it. Relational justice is directly related to the relations between people (Özmen, Arbak & Özer, 2007: 22-29).

Bies (2001) claim that the justice perceptions of the individuals are related to the interpersonal relationships which take place during the processes and this is named after “interactional justice” (Cited: Yürür, 2008:298). Furthermore, Folger and Cropanzano(1998) interactional justice is based on the quality of the relationships between individuals. Explaining reasons of the decisions to the stakeholders, establishing a sincere and reliable interaction with the employees affect the perceptions of justice positively.

### **2.1.4 Informing Justice**

Informing justice is about informing employees about the distribution of organizational benefits and declaring something that happens in an organization is the process of informing them fairly and honestly. It is related to how much information is shared when the processes continue in the organization. In order to satisfy employees, informing them about processes can be more significant than employee salaries (Cropanzano ve Greenberg, 1997; Eker, 2006; Folger ve Cropanzano, 1998;Cited: Titrek, 2009a).

Studies show that the the increase on the amount of the information shared with the employees affect the justice perceptions of the employees positively. In this context, the means of communication between the employees and administration are crucial precessors that affect the feeling of the justice among employees (Doğan, 2002: 72).

## **3. Justice in the Classroom**

The school is certainly one of the fundamental institutions of society where exchanges and relations are within the experience of almost everyone and constitute a significant aspect of human interaction. For children, school is likely to be the most important arena of their experience of socialization(Çelikkaya,2008: 23).

The perception of justice appears to be a significant factor for an individual to be able to adapt to the school community as a student. Therefore students who internalized the concept of justice by means of their school experiences will contribute to the school in the short term and to the society in the long term (Çelikkaya, 2008: 4).

According to Beugre (2002) fair perceptions of students bring with the positive behaviors, including students'perceptions that they are valuable and respectable members of the class, and a developed and harmonious relation with the teacher and classmates based on confidence. Classroom justice may be defined as perceptions of fairness regarding outcomes or processes that occur in the instructional context (Chory-Assad ve Paulsel, 2004b:254).

Classroom justice dimensions in the literature usually defined as distributive justice, procedural justice and interactional justice like organizational justice (Berti, Molinari ve Speltini, 2010:543; Rodabaugh, 1996: 37). Because classrooms are a part of school organizations.

### 3.1 Distributive Justice

The school is certainly the fundamental place where the distribution of justice takes place (Resh, 1999:103). Schools are places where reward allocation takes place and they are scenes of justice distribution (Lentillon ve Coggerino, & Kaestner, 2006:321). The principle of distribute justice argues that people assess the ratio of their inputs into a situation to the outputs that they receive. When the output equals or exceeds the input, the distribution should be perceived as just or fair. When the output falls short of the input, the situation is perceived as unjust (Adams, 1963, 1965; Cited: Greenberg, 1990: 400).

Students' inputs in an examination context include participation in class, completing out-of-class exercises and homework, and preparing time specifically for the exam (Schmidt, Houston, Bettencourt, & Boughton, 2003: 178). Students' outputs are the grades (Tata, 1999: 265).

Whether outcome expectations are based on individual input or a comparison to others' inputs, feelings of injustice arise when a discrepancy is perceived between the actual outcome and expectations and, in turn, moral outrage results (Schmidt, Houston, Bettencourt, & Boughton, 2003: 179). According to Tata (1999), unfair distributions affect the students' evaluations of their teachers.

### 3.2 Procedural Justice

Procedural justice describes perceptions of fairness regarding the process used to determine outcomes (Chory 2007; Byrne ve Cropanzano 2001). Students may sense the procedural justice by the means of having attendance policies, schedules, grading scales, conduct, expectations, exams, and a course syllabus that students felt were fair (Chory-Assad, 2002).

To illustrate the justice rules, consider a situation in which a student believes he or she has received an unfairly low grade and chooses to appeal the grade. According to the justice judgment model, the school's grade appeal procedure should:

- (a) treat all students the same (consistency rule);
- (b) eliminate the effects of student self-interest and instructor bias (bias suppression rule);
- (c) ensure that the student's final grade is based on accurate information about the instructor's standards and the student's performance (accuracy rule);
- (d) make it possible to change an initially inappropriate grade (correctability rule);
- (e) take into consideration the views of the instructor, the student, and other concerned parties (representativeness rule); and
- (f) be consistent with basic ethical principles (ethicality rule).

Judgments of procedural justice will influence evaluations of the students about their teachers, with evaluations being more positive if the procedure is considered fair than if the procedure is considered unfair. Finding suggested that instructors who presented information clearly and gave constructive feedback, had students who understood the reasons behind the grades they received and viewed their instructors as using more procedural justice (Chesebro, Martin, & Bulson, 2004)

Chory Assad & Paulsel (2004), the students' perceptions of procedural justice affect the students' hostile and resistant behaviors to their teachers.

### 3.3 Interactional Justice

Teacher –student relationship is personal in nature (DeVito, 1986; Frymier ve Houser, 2000) because while students are interacting with their teachers, they make predictions according to their psychosocial states instead of teacher-student roles (Dobransky & Frymier, 2004; Miller & Steinberg, 1975).

The role of the teacher in the student-teacher interaction is crucial because teachers are the ones who spend time to listen students' opinions and feelings, care about students' aims, meet students' needs, direct students' behaviors and have the distribution responsibility of punishments and awards (Sabbagh,

Resh, Mor ve Vanhuysse, 2006). Interactional justice is the perception of justice during interpersonal interactions while classroom teaching policies and procedures are being executed (Paulsel, Chory-Assad ve Katie, 2005).

According to (Bies & Moag, 1986) interactional justice describes fairness regarding interpersonal treatment when classroom policies are implemented. Students generate interactional justice judgments about the way their instructor communicates with them personally or the class as a whole (Chory-Assad & Paulsel, 2004a).

### **Research Problem**

What is the students' classroom justice perceptions based on justice dimension? Is the main research problem in this study? Moreover, we also searched significant differences of students' perceptions about classroom justice based on gender, school type, family income level, family education levels, academic success level of students and attendance level of social activities of students' variables.

### **Methodology**

The study was conducted through a survey model. Information was gathered from a sample that has been drawn from a pre-determined population at just one point in time. In this study cross-sectional survey model was conducted for the purpose of the research.

### **Sample**

The sample of this study consisted of 486 high school students studying in the district of Körfez, Kocaeli during the 2014-2015 education year. The sample of the study in two steps. At first step schools were chosen based on the school types and at the second step the students were selected randomly from these schools. In random sampling there is a chance for each student of being selected to the sample there for the objectivity rule can be used in this sampling (Balcı, 2005:6). Based on sampling method, %30,9 selected from Anadolu High School, %26,4 were selected from Industry Vocational School, %18,1 were selected from Girl High School and %24,5 were selected from Science High School. Moreover, %52,6 were female and %47,4 were male and %39 were in the 9<sup>th</sup> grade class, %34 were 10<sup>th</sup> grade class and %27 were 11<sup>th</sup> grade classes.

### **Analyses of Data**

In the research, 'Perceptions of Fairness in Class Management Scale' was developed by researcher and used to gather data, and then scale items were adopted and re-organized by the researcher according to classroom life to measure justice perceptions of students. From the sample, the scale was administered to 800 students for testing validity and reliability of the scale. Construct validity of the scale was examined by exploratory factor analysis (EFA). Data were analysed with "IBM SPSS Statistics 20" programme. The first step we tested of the data is normal or not and we practised normality test. That's why, Kolmogorov-Smirnov test and for stickiness and scewness we calculated kurtosis coefficient and coefficient of skewness level of the data. Based on the result, we understood that data have not got normality result.

### **7. Results**

We analyzed data based on school type to measure fairness level of classroom activities in Turkish schools via students' perceptions and we used Kruskal Wallis test.

**Table 1.** Kruskal Wallis test analysis results of school type

	Okul türü	N	Rank Square	Chi-Square	df	p	Difference
Interactional	Anatolian High School	150	236,39	18,745	3	,000	Kız Meslek- Anadolu
	Industrial Vocational High School	128	271,19				Kız Meslek - Endüstri
	Girls' Vocational High School	88	192,00				Kız Meslek-Fen
	Science High School	119	258,73				Anadolu -Endüstri
Reward	Anatolian High School	150	241,19	9,101	3	,028	Endüstri -Kız Meslek
	Industrial Vocational High School	128	272,49				Endüstri -Fen
	Girls' Vocational High School	88	220,22				
	Science High School	119	230,40				
Procedural	Anatolian High School	150	261,69	12,914	3	,005	Anadolu -Fen
	Industrial Vocational High School	128	261,45				Endüstri -Fen
	Girls' Vocational High School	88	231,27				
	Science High School	119	208,27				
Distrubution	Anatolian High School	150	255,46	10,055	3	,018	Kız Meslek- Anadolu
	Industrial Vocational High School	128	260,84				Kız Meslek- Endüstri
	Girls' Vocational High School	88	205,13				
	Science High School	119	236,11				

As indicated in Table 1, there is significant difference in interactional justice level scores based on school type (Chi-square=18,745;  $p<0,05$ ). In this dimension, Girls' Vocational High School scores are significantly lesser than other school types. Furthermore, Industrial Vocational High School students' scores are lesser than other schools based on reward dimension scores. Moreover, Science High School students' scores are also lesser than other school scores in procedural justice dimension. Lastly, we found that Girls' Vocational High School scores also lesser than distrubution justice dimension.

**Table 2.** Kruskal Wallis test analyses results in classroom level

	Classroom	N	Rank Square	Chi-Square	df	p	Difference
Interactional	9. class	189	270,41	11,938	2	,003	9. -10.class
	10. class	165	226,91				9. -11.class
	11. class	131	223,72				
Reward	9. class	189	261,35	11,760	2	,003	9. -11.class
	10. class	165	249,50				10. -11.class
	11. class	131	208,34				
Procedural	9. class	189	254,75	2,501	2	,286	
	10. class	165	231,50				
	11. class	131	240,52				
Distrubution	9. class	189	270,76	12,481	2	,002	9. -10.class
	10. class	165	221,82				9. -11.class
	11. class	131	229,61				

As indicated in Table 2, there is significant difference in interactional justice level scores based on class level (Chi-square=11,938;  $p<0,05$ ). In this dimension, 9. Class students scores are significantly higher than other class levels students' perceptions and 9. Class students scores are significantly higher than



other class levels students' perceptions in distribution justice dimension as well (Chi-square=11,760;  $p<0,05$ ). We could not find any significant differences in other dimensions' scores of students' perceptions.

**Table 3.** Kruskal Wallis test analyses results based on students success level

	Succes level	N	Rank Square	Chi-Square	df	p	Difference
Interactional	Repeated Class	19	188,29	17,060	4	,002	1-5
	Conditional I passed	20	232,18				2-5
	Directly I passed	220	235,34				3-5
	Certificate of Appreciation	155	234,74				4-5
	Highest level of Certificate of Appreciation	71	302,45				
Reward	Repeated Class	19	209,84	9,867	4	,043	3-4
	Conditional I passed	20	223,40				4-5
	Directly I passed	220	258,01				
	Certificate of Appreciation	155	219,40				
	Highest level of Certificate of Appreciation	71	262,41				
Procedural	Repeated Class	19	216,03	10,518	4	,033	3-4
	Conditional I passed	20	222,30				4-5
	Directly I passed	220	260,16				
	Certificate of Appreciation	155	217,52				
	Highest level of Certificate of Appreciation	71	258,51				
Distribution	Repeated Class	19	210,24	8,426	4	,077	
	Conditional I passed	20	189,25				
	Directly I passed	220	241,66				
	Certificate of Appreciation	155	240,07				
	Highest level of Certificate of Appreciation	71	277,45				

As indicated in Table 3, there are significant differences based on students' perceptions in success level of students' on interactional justice dimension (Chi-square=17,060;  $p<0,05$ ); . reward dimension (Chi-square=9,867;  $p<0,05$ ) and procedural (Chi-square=10,518;  $p<0,05$ ). Student have Highest level of Certificate of Appreciation perceptions are significantly higher than other levels succeed students in all dimensions. We could not find any significant differences in other dimensions' scores of students' perceptions.

According to research results, students justice perceptions about classroom management have not got any significant differences based on family income level, mothers' education level and fathers' education level. Moreover, attendance level of social activities have not got any significant differences in interactional justice, reward justice and procedural justice dimensions. However student's perceptions about distribution justice levels are significantly differ ( $p<0,05$ ). These differences show that non-social student having higher scores than social ones and based on non-social student perceptions, classroom distributions have high level justice when we compared with social students' justice perceptions.

## 8. Results and Sugestions

The main purpose of this study is to define classroom justice levels of Turkish schools based on students' perceptions. The study is also aimed to investigate significant differences according to independent variables such as school type, class level, success level, socialization level of the student, family income level, mothers' education level and fathers' education level based on class justice dimensions in interactional, reward, procedurel and distrubution.

Based on the results, it can be said that students' classroom justice perception are affected by school type, academic success level, class level and attendance to the social activities. All these findings achieved coincide with the studies of Molinari, Speltini and Passini (2013). A conclusion regarding the perception of classroom justice is an important variable on the type of school also emerges in the study of Kepekçioğlu (2015) carried out at the university level in Turkey.

Family income, family education levels and gender haven't got any significant difference on students' perceptions in the general sense. However, this study showed that the female student accepts teachers' decisions and activities in the classrrom are more equitable and a similar result emerges in the study of Kepekçioğlu (2015). The result achieved in the study that the students' perceptions related to interactional justice, procedural justice and distribution justice did not differ according to income level is consistent with the study result of Assad (2002). However Tomul, Çelik and Taş (2012) determined in their study that students' justice perception is affected by socio-economic status. In this study, it was seen that the students suffered injustice in the distributive and interactional justice dimensions because of socio-economic reasons. It was observed in this study that educational level of parents did not affect the students' justice perceptions about classroom management. This result is consistent with the study results of Çelikkaya (2008) as well.

In recent years, the concept of justice has been widely studied in the field of education in terms of organizational dimensions. However such questions as "How does classroom environment justice in which students get first experiences affect the formation of their justice perception? What needs to be done to ensure justice in the classroom? Do students meet with fair practice in fair learning environment?" Yet remain to be answered. Because of being a relational research, this study demonstrated by which variables students' perceptions of justice related to classroom management are affected; but, it failed to clarify the matter for teachers what to do to ensure justice in the classroom. However, these questions that need to be answered are very important issues to be addressed to ensure justice in the classroom. Through revealing the students 'and teachers' perception of justice more clearly, addressing these issues in future studies may shed light on the formation of the classroom which is more peaceful and fairer, in which students and teachers trust each other.

Class justice research has shed considerable light on how employees respond to perceived fairness in the workplace. For example, when employees feel unfairly treated, their commitment to the organization falls, their job performance drops, job satisfaction declines, and they become much less likely to assist their co-workers (Ambrose, 2002; Cropanzano & Greenberg, 1997). Therefore, it can be beneficial to add these dimensions of justice researches to future studies. By this way, the underlying reasons for justice perceptions can be unearthed. These reasons can result from teachers' relationships within themselves or with school principals. It can be expressed that in Turkish schools, relationships between employees are positive and commitment to each other is high, but it seems that there are some problems with school managers' behaviors toward employees. In relation to organizational justice, 'respecting each other, helping each other, and not humiliating each other' behaviors are very positive among employees. Moreover, organizational justice behaviors which are related to managers' behaviors, such as 'respecting employees and trusting employees' are high. However, in relationship with managers' behaviors, such as 'showing approval to employees when they do well, solving employees' treating complaints fairly, giving importance to employees' and their demands, responding quickly to employees' requests, admiring employees and knowing employees' worth, caring about employee's suggestions, avoiding favoritism between employees and not verbally abusing to employees' behaviors are more commonly problematic behaviors in Turkish schools. It can be said that there are some

organizational justice behavior problems related to relational and distributive justice in Turkish schools. In particular, if managers favor certain employees, others can organize informal groups against school management. This can give rise to some unwanted conflicts in schools and also can affect the organizational commitment level of some employees in schools.

## References

Adams, J. S. (1965). Injustice in social exchange. In L. Berkowitz (Eds.). *Advances in Experimental Social Psychology*. New York: Academic Press.

Ambroce, M. (2002). Contemporary justice research: A new look at familiar questions. *Organizational Behavior and Human Decision Process*. 89, 803-812.

Atalay, İ. (2005). Örgütsel vatandaşlık ve örgütsel adalet [in Turkish]. Unpublished master thesis. AKU Sosyal Bilimler Enstitüsü, Afyon, Turkey.

Balci, A. (1985). Eğitim yöneticilerin iş doyumu [in Turkish]. Unpublished doctoral dissertation, AU Eğitim Bilimleri Enstitüsü, Ankara, Turkey.

Balci, A. (1997). Sosyal bilimlerde araştırma: Yöntem, teknik ve ilkeler [in Turkish]. Second Edition, Ankara: 72 TDFO Bilgisayar-Yayincilik San. Tic. Ltd Sti.

Balay, R. (2006). Conflict management strategies of administrators and teachers. *Asian Journal of Management Cases*, 3(5), London: New Delhi, Thousand Oaks.

Barclay, Laurie (2002). "The paradox of "justice" formalization: When procedures erode perceptions of fairness." University of British Columbia, Retrieved 25 March 2006 from [http://frontiers.sauder.ubc.ca/Laurie\\_2002.pdf](http://frontiers.sauder.ubc.ca/Laurie_2002.pdf).

Beugre, C.C. (1998), *Managing fairness in organizations*. Quorum, Westport, CT .

Büyüköztürk, Ş. (2002). Sosyal bilimler için veri analizi el kitabı [in Turkish]. Ankara: PegemA Yayıncılık.

Cohen, R.L., & Greenberg, J. (1982), The justice concept in social psychology, In Greenberg, J., Cohen, R.L. (Eds), *Equity and Justice in Social Behavior*, 1-41, New York: Academic Pres.

Cropanzano, R. & Greenberg, J. (1997). Progress in organizational justice: Tunneling through the maze. In C. L. Cooper & I. T. Robertson (Eds.), *International Review Of Industrial And Organizational Psychology*, 317-372, New York: Wiley.

Donovan, M.A., Drasgow, F., & Munson, L. J. (1998). The perceptions of fair interpersonal treatment scale: The development and validation of a measure of interpersonal treatment in the workplace. *Journal of Applied Psychology*, 83, 683-691.

Effect Size (ES) Calculators [Online]. Retrieved 3April, 2008 from <http://web.uccs.edu/lbecker/Psy590/escalc3.htm>.

Eker, G. (2006). Örgütsel adalet algısı boyutları ve iş doyumu üzerindeki etkileri [in Turkish]. Unpublished master thesis, DEU SBE Yönetim ve Organizasyon Bilim Dalı, İzmir, Turkey.

Erturk, A., Yilmaz, C., & Ceylan, A. (2004). Promoting organizational citizenship behaviors: Relative effects of job satisfaction, organizational commitment, and perceived managerial fairness. *METU Studies in Development*, December 2004: 189-210, Ankara, Turkey.

Ferrie, J.E., Kivimaki, M., Elovainio, M. & Vahtera, J. (2003). "Organisational justice and health of employees: Prospective cohort study," Retrieved 04 April, 2006 from <http://oem.bmjournals.com/cgi/content/full/60/1/27>.

Folger, R., & Cropanzano, R. (1998). *Organizational justice and human resource management*, Thousand Oaks, CA: Sage Publications.

Folger, R., & Cropanzano, R. (2001). Fairness theory: Justice as accountability, In J. Greenberg & R. Cropanzano (Eds.), *Advances in organizational justice*, 1-55. Palo Alto, CA: Stanford University Press.

Folger, R. & Konovsky, M.A. (1989). Effects of procedural and distributive justice on reactions to pay decisions. *Academy of Management Journal*, 32, 115-30.

Folger, R., & Martin, C. (1986). Relative deprivation and referent cognitions: Distributive and procedural justice effects. *Journal of Experimental Social Psychology*, 22, 532-546.

Folger, R., Rosenfield, D., & Robinson, T. (1983). Relative deprivation and procedural justifications. *Journal of Personality and Social Psychology*, 45, 172-184.

Giap, B. N., Hackermeier, I., Jiao, X. & Wagdarikar, S.P. (2005). *Organizational citizenship behavior and perception of organizational justice in student jobs*. Psychology of Excellence Research Study, Munich: Ludwig-Maximilians-University.

Greenberg, J. (1987). Reactions to procedural injustice in payment distributions: Do the mean justify the ends?, *Journal of Applied Psychology*, 72, 55-61.

Greenberg, J. (1990). Looking fair vs. being fair: Managing impressions of organizational justice, In B. M. Staw & L. L. Cummings (Eds.), *Research in Organizational Behavior*, 12: 111-157, Greenwich, CT: JAI Press.

Greenberg, J. (1990). Organizational justice: Yesterday, today, and tomorrow. *Journal of Management*, 16 (2), 399-432.

Greenberg, J. (1993). The social side of fairness: Interpersonal and informational classes of organizational justice. R. Cropanzano (Der.), *Justice In The Workplace*. Hillsdale, NJ: Erlbaum.

Greenberg, J. (1994). Using Socially Fair Treatment to Promote Acceptance of A Work Site Smoking Ban, *Journal of Applied Psychology*, 79, 288-297.

Greenberg, J. (1996), *The quest for justice on the job*. Thousand Oaks, CA: Sage.

Greenberg, J. & Lind, E.A. (2000), *The pursuit of organizational justice: from conceptualization to implication to application*. In Cooper, C.L. & Locke, E.W. (Eds), *Industrial and Organizational Psychology*, Malden, MA: Blackwell Pres.

Gzeist, J., & Hoy, W.K. (2003), *Cultivating a culture of trust: Enabling school structure, teacher professionalism, and academic press*. Unpublished working paper, Ohio State University, Columbus, OH.

Ho, S. (2001). *And Justice For All*. Virginia Tech Research Magazine. Retrieved 05 February, 2007 from <http://www.research.vt.edu/resmag/resmag2001/justice.html> [Online].

Hoffman, J.D., Sabo, D., Bliss, J., & Hoy, W.K. (1994). Building a culture of trust. *Journal of School Leadership*, 3, 484-501.

Hoy, W.K. & Tschannen-Moran, M. (1999). Five faces of trust: an empirical confirmation in urban elementary schools. *Journal of School Leadership*, 9, 184-208.

Hoy, W.K. & Tarter, C. J. (2004). Organizational justice in schools: No justice without trust. *International Journal of Educational Management*, 18 (4), 250-259.

İşcan, Ö.F. & Naktiyok, A. (2004). Çalışanların örgütsel bağdaşımalarının belirleyicileri olarak örgütsel bağlılık ve örgütsel adalet algısı [in Turkish], Retrieved 03 March, 2007 from <http://www.politics.ankara.edu.tr/dergi/index.php?cilt=59&sayi=1> [Online], 59 (1), 181-201.

Joreskog, K.B. & Sorbom, D. (1993). LISREL 8: User's reference guide. Chicago: Scientific International Software.

Konovsky, M. A. & Cropanzano, R. (1991). Perceived fairness of employee drug testing as a predictor of employee attitudes and job performance. *Journal of Applied Psychology*, 76, 698-707.

Konovsky, M. A. (2000). Understanding procedural justice and its impact on business organizations. *Journal of Management*, 26, 489-511.

Landy, F. J., Barnes-Farel, J. L. & Cleveland, J. N. (1980). Perceived fairness and accuracy of performance evaluation: A follow-up. *Journal of Applied Psychology*, 65, 355-356.

Leventhal, G. S., Karuza, J. & Fry, W. R. (1980). Beyond fairness: A theory of allocation of preferences, In Mikula, G. (Eds), *Justice and Social Interaction*, New York: Springer-Verlag Press.

Lind, E.A., & Tyler, T. R. (1988). *The social psychology of procedural justice*, New York: Plenum.

McFarlin, D. B., & Sweeney, P. D. (1992). Distributive and procedural justice as predictors of satisfaction with personal and organizational outcome. *Academy of Management Journal*, 35, 626-37.

Meyer, J. P. & Allen, N. J. (1997). *Commitment in the workplace: Theory, research and application*. Thousand Oaks, CA: Sage Publications.

Moorman, R. H. (1991). Relationship between organizational justice and organizational citizenship behaviors: Do fairness perceptions influence employee citizenship? *Journal of Applied Psychology*, 76, 845-55.

Niehoff, B. P. & Moorman, R. H. (1993). Justice as a mediator of the relationships between methods of monitoring and organizational citizenship behavior. *Academy of Management Journal*, 36, 527-56.

Özdevecioğlu, M. (2004). Duygusal olaylar teorisi çerçevesinde pozitif ve negatif duygusallığın algılanan örgütsel adalet üzerindeki etkilerini belirlemeye yönelik bir araştırma [in Turkish]. Retrieved 03 March, 2007 from <http://www.politics.ankara.edu.tr/dergi/index.php?cilt=59&sayi=3> [Online]. 59 (3), 181-202.

Poole, W. L. (2007). Organizational justice as a framework for understanding union-management relations in education. *Canadian Journal of Education*, 30 (3): 725-753, Toronto.

Richardson, R., Coyle-Shapiro, J., Hoque, K., & Keser, I. (2002). *Human resource management*. England: University of London Press, Retrieved 05 April, 2006 from [http://www.londonexternal.ac.uk/current\\_students/programmeresources/lse/lse\\_pdf/further\\_units/human\\_resources/75\\_hrm\\_02.pdf](http://www.londonexternal.ac.uk/current_students/programmeresources/lse/lse_pdf/further_units/human_resources/75_hrm_02.pdf).

Sweeney, P. D., & Mc Farlin, D. B. (1993). Workers' evaluations of the ends' and means': An examination of four models of distributive and procedural justice. *Organizational Behavior and Human Decision Processes*, 55, 23-40.

Sweetland, S.R., & Hoy, W.K. (2001), Varnishing the truth: Principals and teachers spinning reality. *Journal of Educational Administration*, 39, 282-93.

Tan, Ç. (2006). İlköğretim okullarında görev yapan öğretmenlerin örgütsel adalet konusundaki algıları [in Turkish]. Unpublished master thesis, F.U. SBE Eğitim Bilimleri Anabilim Dalı, Elazığ, Turkey.

Tannenbaum, A.S. (1966). *Social psychology of the work organization*. USA: Wadsworth Publishing Company Inc.

Tsosvold, D., Hui, C. & Law, K.S. (2001). Constructive conflict in China: Cooperative conflict as bridge between east and west. *Journal of World Business*, 36 (2, Summer): 166-83.

Tyler, T. & Lind, E. (1992). A relationship model of authority in groups. In Zanna, M. (Eds.), *Advances in experimental social psychology*, 24, 115-192. New York: Academic Press.

Thibaut, J. W. & Walker, L. (1975). *Procedural justice: A psychological analysis*. Hillsdale, NJ: Erlbaum.

Wasti, A. (2001). Örgütsel adalet kavramı ve tercüme bir ölçeğin Türkçe'de güvenirlik ve geçerlik analizi [in Turkish]. *Yönetim Arastirmalari Dergisi*, Ankara: Baskent Universitesi, IIBF, Ekim 2001.



# Determining the Digital Plagiarism Causes and Types of Secondary School Students

*Ahmet Naci Çoklar, Necmettin Erbakan University, Turkey*  
*Feyza Uzun, Ardeşen Anadolu Technical High School, Turkey*

## Abstract

The Internet has become the world's main information resource. The illegal and unethical use of the Internet is well known with respect to digital plagiarism. The aim of this research is to determine the digital plagiarism types and reasons for resorting to this behavior by secondary school students who are frequently using the internet as an information source. This study involves qualitative research and used a phenomenological design. A total of 22 secondary school students were selected for the study using a purposeful sampling method in the 2013 and 2014 academic years. Data were gathered by using semi-structured interview forms and were analyzed through a content analysis method. The results showed that the types of digital plagiarism were copy-paste, prepared homework, funded test trots, use of the pictures found on the web, and giving or taking home work between their friends. Also, to save time, its convenience, avoiding writing, concerns about making the wrong kind of submission and errors of fact, the difficulty of doing homework with a book, the fun of the Internet, and lack of self-confidence were expressed as digital plagiarism motives by the students.

**Keywords:** digital plagiarism, causes of the plagiarism, types of the plagiarism, ICTs

---

The present study was based on a scientific research project funded by Necmettin Erbakan University Scientific Research Foundation – number 152518001-222 – called ‘Determining Digital Plagiarism Causes and Types of Secondary School Students’ and it was also part of Feyza Uzun’s master thesis.

# The Evolution of Malaysia School Building Design

*Norhaslin Nordin, University of Malaya, Malaysia*  
*Muhammad Azzam Ismail, University of Malaya, Malaysia*  
*A R Mohd Ariffin, University of Malaya, Malaysia*

## Abstract

Designing an educational building may have a variety of concepts and theories that should have been considered. The objective of this paper is to analyze the design condition of the existing public school buildings and investigate the presence of pattern and connection of design, history, and policy in order to find out the reason behind the architectural design influenced at that time. However, there are matters that can't be avoided like climate, history, economic, social, and politics as well as land matters, culture, programs, and many more. The design of public school buildings in Malaysia is not exempt from all of these matters. Policies, guidelines, and legislation need to be followed by the designer on top of architectural theories and concepts which are appropriate and suitable for the current situation in order to meet the nation's needs. Since attaining independence in 1957, policies and regulations have been introduced in constructing a new building. Many buildings, including schools have been built in urban and rural areas to fulfil the needs of the people and for the future national development. However, there are some few documented sources to help us understand design evolution of this particular kind of building. Being able to understand the background design of the school buildings, along with examining physical features, history, and policies are being studied in-depth. Towards that end, a preliminary study has been carried out to investigate the physical condition of the existing structures and to understand the connection of history and policies on matters that influenced the designer, especially educational planners and architects pondering the designing of a school. Observation of different types of primary school building designs in urban areas of Kuala Lumpur, Malaysia were sought and visited. There are 180 different primary schools in Kuala Lumpur alone and 70 schools were selected after categorizing it into year it was built based on Malaysia Ministry of Education data. Photographic evidence of the selected schools were analyzed in finding the various designs that may have several useful design features. The results obtained showed that the school can be categorized into 2 types, which is either using a standard or a new concept (one-off) based on the design adaptation. These 2 types of design have been divided into subgroups according to the architectural design similarity and the design features of the subgroups were studied in-depth to find the relationship of design, history, and policy of the existing school buildings.

**Key words:** School building, design evolution, architectural features, history, policy

# Grounded Theory and Grounded Theory Essays in Turkish Sociology

*Ferhat Arık, Hacettepe University, Turkey*

In this study of the historical development and fundamental principles of Grounded Theory, we will first evaluate ontological and epistemological discussions located in grounded theory (within the context of positivist and constructive paradigms). Secondly, while locating grounded theory as a methodology in Turkish Sociology, examples using grounded theory will be presented.

Grounded Theory was developed by Barney Glaser and Anselm Strauss. Their study on patients who were about to die, called “Awareness of dying” (1965), formed certain fundamentals of grounded theory. In America in the 1960’s there was a tendency towards not telling terminally ill patients that they were about to die. Hospital officers did not generally share this information with anyone so there was no previous study performed in this field before. So, it was not possible to move onward to a present theory and test this theory in the light of newly discovered information. In these sense, Glaser and Strauss did not perform their study using patients who were aware that their death was imminent. Both with the patients who were about to die and hospital staff who knew they soon would, they performed their research without knowing which patients could be expect to die soon (Charmaz, 2006, 4). The data taken from the study was analyzed in accordance with an inductive method and as a result of the analysis; it was shown that hospital officers gave more care to the mortally ill patients. Based on this finding, Glaser and Strauss formed a resulting suggestion saying that “hospital officers give more care to the mortal patients rather than the patients who do not have any mortal illness.” “Awareness of dying” (Strauss & Glaser, 1965, sf.; 3).

From their study, they produced “The Discovery of Grounded Theory” (1967) in which they formed fundamentals of grounded theory, which is now an important and a popular variety of qualitative studies.

While Glaser and Strauss stated that former sociological studies focused on how a theory should be confirmed, we can say that this condition destroys individual’s will of exploring and decreases the value of the field. Glaser and Strauss believed that in that testing a theory which may become an important tool in sociology – and it did, in fact, become one of the most fundamental tools and topics of sociology – that that sociologists should test available theories and re-explore the known truth as few produce any useful new theory at all (Strauss & Glaser, 1967, sf; 2).

Because of being the opposite of testing present theories, the thought of producing new theory provoked a deep awakening in other fields and as a research method, grounded theory became more and more popular.

According to Charmaz (2000), grounded theory is a challenge to hegemony of quantitative studies. Quantitative study design formed fundamental methodological structures of positivist understanding which was the source of much sociology research and the dominant paradigm of sociological method at the time. However, it is not fully possible to put grounded theory into opposition of positivist thought. Ontological and epistemological differentiations shed light on this topic.

One should not consider grounded theory as a theory although it carries label of “theory.” It is a methodology for directing a researcher to building a theory. It is a whole and systematic process which is directed to exploration of the theory that is an agent to understand regulation of the social world. The fundamental principle of grounded theory is to get data by way of inductive methods and to analyze it simultaneously. So, according to this approach, contrary to classical sociological studies, it is not put forward to confirm theories, it is structured to explore them.

Glaser and Strauss wrote a new methodology for qualitative researches within social sciences and forms the fundamentals of grounded theory methodology. It was entitled *The Discovery of Grounded Theory: Strategies for qualitative research* (1967). It is presently known to have been cited in over 73,000 scientific works.

Then in 1978, the book called *Theoretical Sensitivity: Advances in the methodology of Grounded Theory*, written by Glaser alone, paved the way for them to work separately and caused it to be called the Classical Glaserian version of the theory. In 1987, Strauss published his book *Qualitative Analysis for Social Scientists* which considered qualitative study design in general and principles of grounded theory in particular. Just three years later, Strauss with Corbin, published a work which has been considered as more structural and systematic, *Basics of Qualitative Research: Grounded theory procedures and techniques* with Corbin whom he would produce further works in the future.

In opposition to this particular work of Strauss and Corbin, Glaser produced a work called *Basics of Grounded Theory Analysis* in 1992, presented his *Handbook of Qualitative Research* in 2000, and his book *Constructing Grounded Theory* was another important contribution to grounded theory literature in 2006.

Around the researched phenomenon, grounded theory moves towards the target in a circular way to develop of theory. There are some fundamental milestones of this process. These are: the process of getting and analyzing the information which will be conducted simultaneously, coding and categorizing the data, constant inductive comparative analysis, typing the notes of the researcher, continued sampling towards various objectives known as “theoretical sampling,” theoretical sensitivity which reflects personal ability of the researcher, theoretical saturation and integration, which is directly related to sample choosing and forming categories. In our study, we will discuss this process with its fundamental topics separately.

Grounded theory’s place in Turkish sociology will be located as a result of examination of completed thesis and academic essays.

